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ABSTRACT

This combined management audit and personnel staffing survey of a sample of Alabama schools reports recommendations for policy changes to the Alabama Education Study Commission. Policy changes in educational management are suggested with respect to school organization, state fund apportionment procedures, curriculum development, test scoring, budgeting procedures, administrator training, technical assistance to local districts, financial management, business and maintenance operations, bus transportation, intersystem cooperation, school consolidation, and supporting services. Changes recommended in personnel staffing involve standards for hiring new vocational teachers, clerical positions, selection processes, staff training, collective bargaining, and ESEA, Title I. (DW)

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MANAGEMENT AUDIT
OF
SELECTED ALABAMA LOCAL SCHOOL SYSTEMS

STUDIES CONDUCTED FOR THE
ALABAMA EDUCATION STUDY COMMISSION

By

Griffenhagen-Kroeger, Inc.

Atlanta, Georgia

San Francisco, California

April 1973

EA 007 226

STATE OF ALABAMA

ALABAMA EDUCATION STUDY COMMISSION

MONTGOMERY, ALABAMA 36104

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PROJECT TO ACHIEVE EDUCATIONAL EXCELLENCE IN ALABAMA

DR. B. D WHETSTONE, COORDINATOR

TO: Members of the State Legislature

FROM: Otto E. Simon, Chairman
Joe M. Dawkins, Executive Secretary

In compliance with Act No. 15 of the 1969 State Legislature, Special Session, setting out the responsibilities of the Alabama Education Study Commission, we herewith submit this report.

The enclosed report is one of fifteen separate reports developed by the Commission over the past two and one-half years that reflect investigation of the many facets of elementary and secondary education in Alabama.

Griffenhagen-Kroeger, Inc., public management consultants, conducted the studies represented by the enclosed reports which are a management audit of selected Alabama local school systems, a personnel staffing survey of selected Alabama local public schools, and an update of the 1968 Study Commission recommendations. In addition to these studies, the Diebold Group, Inc., management consultants, conducted an assessment of business needs of Alabama high schools and the Commission developed an inventory of local school systems and statewide education goals and goal priorities which are also being made available to you.

OES-JMD/lab

PUBLIC MANAGEMENT CONSULTANTS / 351 California Street, San Francisco, California 94104 (415) 421-3412
Griffenhagen-Kroeger, Inc.

April 19, 1973

Mr. Otto E. Simon
Chairman
Alabama Education Study Commission
Montgomery, Alabama

Dear Mr. Simon:

We submit herewith our reports covering several studies conducted by our staff for the Study Commission during 1972 and early 1973.

As you know, Dr. Whetstone and Mr. Dawkins and their colleagues were engaged in the massive inventory of *all* local school systems in the State during this same period and the reports resulting from the inventory have been presented to the Commission. While we have been generally in touch with those efforts, we have not attempted to "coordinate" those findings with our own somewhat differently oriented reviews.

For ease of reference, we have combined in this one report the materials developed both from our "management audits" and from our study of personnel staffing which was being carried on concurrently. In addition, as a kind of appendix, we have reproduced a few pages from our February 1973, report to the Commission which covered the status review of the 1967-68 studies made by the previous Alabama Education Study Commission (The Philpott Reports).

We suggest that the Commission review and study this G-K report for its own purposes and - if then believed desirable - to release it as one of *its* report series with whatever additional comments considered appropriate.

Yours very truly,

Elwood Ennis

Elwood Ennis
Executive Vice President

EE/mp

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INTRODUCTION

In 1972 we conducted a study in seven carefuliy selected Alabama school systems. One segment of the study involved an analysis of the utilization of teacher and support personnel time in selected schools as well as the application and administration of certain personnel policies and practices. The report of that study segment is separately presented. This report concerns local school system management practices. It is based on detailed information solicited from administrative personnel in four of the seven systems and our observations while in the remaining three.

Sample Selection

The overall study including this management audit and the utilization of teacher and support personnel time involved seven local school systems selected in a geographically random sample basis by county. Within each county, a particular system was selected in order to obtain a varying pattern of school grade organization among the districts included in the study. Only one high school and whatever number of feeder schools were required to provide a review of teacher and support staff utilization for each grade level was reviewed in that segment of the study.

The management audit, presented in this report, resulted from a detailed review of four of the seven systems. From the seven we determined that we should review at least one larger and one rural system. We determined the remaining two systems to be included should represent smaller cities in which potential management practice improvements could be identified that might have the greatest State-wide application significance.

Purpose

The study has served two major purposes. First, it provided exposure to local school system management and personnel problems in carefully selected representative Alabama school systems which permitted us to suggest pertinent questions for the comprehensive Education Study Commission inventory of all local systems then under way. Second, it produced a full set of *preliminary* facts and conclusions which has resulted in far reaching recommendations involving basic changes in State policy that could affect the future quality of education in Alabama.

Suggested Utilization

The word "preliminary" is used advisedly. If no comprehensive inventory had been planned, we would have required a larger sample of the 126 Alabama school systems upon which to base some of the far reaching recommendations affecting the future of State policy

relating to primary and secondary education. Instead we have completed this report following an in depth review of a carefully selected sample so that the Education Study Commission will have an opportunity to consider our findings and conclusions as it is reviewing the comprehensive inventory involving all systems.

Thus the Education Study Commission will have an opportunity to have available a maximum amount of relevant information upon which to base its decisions regarding aspects of State education policy. The personal in depth interviews in selected school systems, vital to a full understanding of local problems, will be supplemented by a mass of current relevant factual data covering every school system in the State of Alabama.

In every instance we found the superintendent and his staff to be fully cooperative in responding to a somewhat exhaustive list of questions concerning the management practices of the system. We have included in the appendix of this report a list of the questions and areas reviewed in our interviews in each of the four systems. The cooperative attitude demonstrated by local school officials assures us that the Education Study Commission will find local school officials willing to cooperate in its efforts to achieve educational excellence in Alabama.

SUMMARY OF IMPLEMENTATION REQUIREMENTS

SUBJECT OF RECOMMENDATION AND CONCLUSIONS	Refer To Pages	Implementation Involvement*					
		Study Commission	Dept. of Education	University	Other Agencies	Outside Consultants	Legislature
1. Policy Practices Clearinghouse	8	○	■			□	
2. Policy and Procedures Manuals	9-11	○	■			□	
3. School Grade Organization	11-12	○					
4. Allocation of State Funds to Local Systems	12-13	○	■		□	■	■
5. State Leadership for Innovative Programs	13	○	■		□	■	■
6. Outside Assistance for Curriculum Development	13-14	○	■			□	
7. Computer Scoring for Standardized Testing	14	○	■				
8. Program Budget Emphasis in Regulations	15-18	○	■		□	■	
9. Program Budget Emphasis in Legislation	15-16,18	○	■		□	■	■
10. School System Management Training	15-16,18-21	○	□	□		□	■
11. Technical Assistance for Local Systems	15-16,21-22	□	□	□	□	□	■
12. Methods for Providing Technical Assistance	15-16,22-24	□	□	□	□	□	■
13. Fiscal Year Considerations	25	○					
14. Minimum Program Formula Payment Date	26	○	■				
15. Periodic Financial Reporting	27	○	■			■	
16. Selection of Local System Depositories	27-28	○			■		■
17. Purchasing Practices	29,36-38	○	■		□		
18. Warehouse Practices	29-30	□	□	□		□	
19. Custodial and Building Maintenance	30-31	□	□	□		□	
20. Grounds Maintenance	31	□	□	□		□	
21. Vehicle Maintenance	31-32	□	□	□		□	
22. Department of Education Local Services	33-35	○	■			■	
23. Encouraging Larger Systems	33-36	○				■	■
24. Inter-System Cooperation and Contracting	33-35,36-38	○	■			□	

■ Probable or Certain Involvement

□ Possible Involvement

○ Coordination or Follow-up Only

This chart indicates the subject of each recommendation or conclusion and the potential involvement of various agencies or groups in further study and/or implementation efforts. Potential involvement is often for two or more agencies or groups when less might be required, pending a Commission decision concerning the most appropriate agency or group to provide further study and implementation assistance.

SUMMARY OF RECOMMENDATIONS AND CONCLUSIONS

The following summary of recommendations and conclusions contained in this report is provided to assist the reader in reviewing particular areas of interest. Each recommendation or conclusion is numbered. Page reference numbers are provided to facilitate locating related comments and any background information.

Number		Page Reference
1.	Current policy and practices of local school systems should be accumulated on a State-wide basis, published periodically and made available to all local superintendents to provide them with more complete and current information and reduce the duplication involved in individual superintendent's circulating questionnaires.	8
2.	As a part of its efforts to encourage local systems to prepare written policies and procedures, the State Department of Education should prepare and furnish local superintendents with a model outline of subject material to be used as a guide by local systems in preparing a comprehensive set of policies and procedures.	9-11
3.	In many systems federal court desegregation orders have forced entirely new grade patterns of organization in order to utilize existing building facilities. This forced experimentation with different grade organization has lessened concern about fitting traditional patterns and in a few cases possibly even permitted innovative experimentation which would otherwise have been more difficult.	11-12
4.	Basic changes in the method of distributing State funds to local school systems should be undertaken following a complete review of a wide variety of State and local educational programs and financial considerations.	12-13
5.	Any revised method for distributing State funds to local school systems should consider methods through which State leadership could be exercised to encourage local innovative educational programs.	13
6.	The apparent shortage of locally prepared current curriculum guides, even in larger systems, suggests consideration should be given to providing more outside assistance.	13-14

Number		Page Reference
7.	The State Department of Education should offer its computer scoring and analysis services to all systems for standardized testing whenever they wish to administer those tests for grade levels not administered on a State-wide basis.	14
8.	A review of budgeting and financial reporting requirements should be undertaken to permit redesign of State Department of Education regulations in order to encourage local school systems to plan and account for their expenditures on a program basis.	15-18
9.	Existing State legislation should be reviewed and changes recommended when necessary to permit local school costs to be reflected in the locally prepared budget and financial reporting programs.	15-16 18
10.	The State should provide advanced management training for key local school system administrators and financial incentives for those systems which voluntarily participate.	15-16 18-21
11.	In order to obtain maximum benefit from the local school management training program, the State should provide a small follow-up consultant team to assist the local school administrator implement new systems.	15-16 21-22
12.	The precise method through which the management technical assistance program for local systems should be administered requires further study, but we basically see four different approaches at this time which could involve: 1. The staff of the State Department of Education; 2. The staff of a university which might develop the educational program; 3. Outside consultant staff provided by the Education Study Commission; or, 4. Permanent professional staff of the Education Study Commission.	15-16 22-24
13.	While discussions with local school officials clearly established the desirability of changing the fiscal year from October 1 to July 1, from the local viewpoint, broader considerations overrule such a change.	25
14.	Advancing the date of the State Minimum Program Formula monthly payments to local school systems by less than one week would *permit* the four local systems we reviewed to increase their local revenue of $70,000 *annually* at a *one time* potential cost to the State of $1,350.	26

Number		Page Reference
15.	Periodic financial reporting should be required of each local school system by the State Department of Education which should include provision for indicating invested funds and the high and low general funds cash balances.	27
16.	State legislation should be drafted in cooperation with representatives of other units of local government to prescribe a systematic procedure for the selection of banks to be used for the deposit of public funds.	27-28
17.	Although we found purchasing policies and procedures in the systems we reviewed to be generally refined and standardized, we recommend inter-system cooperative purchasing be undertaken in accordance with the program we propose in recommendation #24.	29 36-38
18.	We believe that substantial improvements can be made in the central storage, inventory control and dispersal of materials and supplies in smaller systems through a review, reassignment and rescheduling of the duties of related full and part-time maintenance, delivery and warehouse personnel. These functions should receive the attention of the proposed technical assistance management consulting team at the time they work with any small system concerning its budgeting and financial reporting systems.	29-30
19.	As the result of our management review of selected local school systems, we have suggested questions to be included in future Education Study Commission local school system inventories which could be correlated with the inventory of facilities in order to produce a ranking of comparative staffing of local systems in relation to the types and area of buildings to be maintained.	30-31
20.	Though the maintenance of grounds is an area subject to the application of staffing ratios, we found it to be the least planned and evaluated of all school maintenance services. As in the case of custodial and building functions, we have suggested questions for future Education Study Commission inventories to permit correlation of staffing information with other available data and produce a ranking of various system staffing patterns related to the acres and type of grounds to be maintained.	31

Number		Page Reference
21.	School systems with only a few buses to maintain should consider the feasibility of centralizing their maintenance with a city government's shop facilities to permit the acquisition of better shop equipment and facilities, employment of qualified personnel and the creation of a sufficient volume of work to justify a system of inventory control and equipment cost records.	31-32
22.	We recommend that any study of the State Department of Education concentrate on the types of services needed by smaller systems and the effectiveness of those services as currently provided, identification of any service gaps and departmental procedures and staffing requirements for the provision of a full range of effective services.	33-35
23.	We recommend that a study be undertaken to determine factors which contribute to effective school system operation and that guidelines be established in State policy which would encourage system mergers under proper conditions and discourage the creation of new systems except when it could be demonstrated that the quality of educational offerings would not suffer.	33-36
24.	In order to achieve the potential benefits available through inter-system cooperation and contracting, it will be necessary to provide State leadership and research assistance to permit local system officials to review and *voluntarily select* those programs which they feel will be advantageous to their system.	33-35 36-38

I ADMINISTRATION AND ORGANIZATION

In this section of the report we explore local school system concerns relating to policy and curriculum development, administrative relationships, administrative and school organization and personnel administration. Additional personnel administration concerns will be addressed in the separate report being prepared relating to the utilization of teacher and support personnel time.

Policy Development

1. Current policy and practices of local school systems should be accumulated on a State-wide basis, published periodically and made available to all local superintendents to provide them with more complete and current information and reduce the duplication involved in individual superintendent's circulating questionnaires.

Every superintendent with whom we spoke expressed a need to have more current and complete information regarding the policies and practices in other systems. This need is fulfilled now through individual contacts, telephone calls or occasionally through the circulation of a questionnaire to other systems.

Within the next few months much of this need will be fulfilled through the publication of the Education Study Commission inventory. More importantly, the inventory, properly utilized and annually updated, can continue to furnish local superintendents with current accurate information regarding the practices of other systems.

Even with this valuable new source of information we anticipate that there will continue to be matters of concern for which information from other systems is not available. We anticipate that these matters will most often involve specific policies of other districts.

Though not all questions can be anticipated in advance, many of the recurring policy concerns of local superintendents can. A routine program can be planned with questionnaires circulated to all superintendents periodically, the results tabulated, printed as a report and mailed to all State superintendents. This procedure would provide a valuable service for all superintendents and could be furnished quite easily by the Department of Education. In the event there is any question in the department concerning what subjects would be of most interest, the service could be announced by mail and the first questionnaire could request the superintendents to list the subject areas which they wish to see explored in forthcoming reports. The program should not be initiated until after the Commission inventory is published and distributed in order to avoid requests for information available in the inventory.

2. As a part of its effort to encourage local systems to prepare written policies and procedures, the State Department of Education should prepare and furnish local superintendents with a model outline of subject material to be used as a guide by local systems in preparing a comprehensive set of policies and procedures.

One of the recommendations in the 1967-68 Education Study Commission report was that the State Department of Education should *require* all local systems to prepare a manual of policies and procedures. In our review of the status of the 1967-68 report recommendations, we reported that the State Superintendent of Education indicated to us that he was not in agreement with the recommendation. We are inclined to agree that the role of the State Department should be one of leadership rather than coercion.

The model outline that we recommend would provide smaller systems with a guide to assist them in the preparation of their own policies and procedures. There is evidence that some guide, at least relating to structure of the manuals, already exists. Local system manuals furnished the Education Study Commission generally follow an established pattern. The outline should generally not cite particular policies or procedures, except when they are required to aid the local system in understanding the purpose of a particular section. Five of the subjects which should be included in the proposed manual are briefly reviewed under the five following headings.

Involvement in Policy Formulation

A portion of the model outline for the development of rough written policies and procedures should include a section on the suggested means of involving teachers, students and the public in a *meaningful way* in the development of policies which will affect them.

Only the largest school system we reviewed had any regular system for policy input by teachers. A weekly bulletin printed in the central office and circulated to all schools regularly pointed out policy questions due for consideration by the local board and solicited comments or suggestions from teachers.

Other than this one example of some kind of continuing program, almost all systems seem to have found it profitable at some point to involve students in determining dress and hair regulations. Sometimes they found it necessary to involve students after regulations prepared by others failed to be well received or have the desired effect.

Students, as well as teachers, often have viewpoints on potential policies in many areas of concern to the Board of Education. Where these viewpoints are sought prior to the adoption of policies which affect students and teachers, the board is in a better position to judge the potential effect of the policy course which it is considering adopting.

Board - Administrative Relationships

The policy and procedure model outline furnished all local school systems should contain a section suggesting written class descriptions for all central staff personnel, principals, teachers, and a listing of non-professional classes likely to be included in a "typical" medium-sized system.

The model outline could contain a statement that some examples of well written class descriptions could be furnished upon specific request. However, the outline should not contain specific written classes with the possible exception of teacher and principal. The duties of central office personnel particularly will vary widely from one system to another.

Only one of the systems which we reviewed appeared to have a complete set of current written class specifications for all positions. Another system had class specifications, but they were obviously out of date in many instances. Two other systems had no written class specifications and apparently did not consider them to be of any management value.

Salary Plans

The policy and procedure manual outline should contain provisions for suggesting a salary plan for all administrative and non-teaching personnel. We saw little evidence of any salary plan that appeared to provide for growth on the job through providing for merit salary increases within a specified range.

At this point we must emphasize the value of a *salary plan,* as opposed to the apparently normal pattern of flat rate salary levels for different positions. A salary plan should provide for an employment salary rate for each class of positions, then subsequent salary steps which represent successive increases (usually of about 5% each). The subsequent salary steps recognize the increased worth of an employee who stays in a particular position, learns the job and becomes increasingly valuable to the school system. The salary step increases should be granted administratively, within the range officially adopted by the Board of Education for the particular classification, upon certification of the appropriate supervisor that the employee meets or exceeds standards of performance required for the particular step increase. The number of salary steps can vary according to the length of anticipated "employee growth time", which is the length of time it is expected an employee should take in the particular class to be of maximum value to the school system.

In addition to assuring employees that they will be fairly treated and their increasing worth recognized by the local system, a salary plan tends to reduce employee turnover and remove pressures that superintendents and Boards of Education often feel when employee salaries are individually determined.

Written Class Descriptions

The policy and procedures model outline should contain a section suggesting a written definition of the relationships of the Superintendent to the Board of Education.

A generalized paragraph that describes a recognized professional relationship could be included in the policy and procedures outline. However, the outline should emphasize that the local manual should be prepared to reflect the existing or desired and agreed upon relationship in that system. It should also point out that any regular or continuing relationships with board committees and outside citizens' groups working with the board should be included in the written definition.

Administrative Organization

The policy and procedures model outline should contain a section suggesting the inclusion of organization charts of the local system and three examples of well drawn current, but differing forms of organization, should be included from other systems to serve as examples.

We had previously indicated that an example should be included as seldom as possible in the policies and procedures model outline. The purpose of the outline is to indicate the types and organization of information which should be included in a local system policy and procedure manual, but not to prescribe the content.

In the case of organization charts it is difficult to describe the type of information which should be included without presenting examples. Therefore we suggest presenting three examples of existing charts taken from other school systems. Each system should have a different type of organization and the chart should be well prepared and current.

Of the few organization charts we reviewed, some were clearly not current. In one smaller system the chart was incorrectly drawn indicating that principals in that system reported to the maintenance man who reported to the superintendent. Nevertheless, the chart was considered the official chart of the school system and had been widely distributed. It is primarily for this reason that we suggest including examples of well drawn charts that show varying types of organizational relationships.

School Organization

3. In many systems federal court desegregation orders have forced entirely new grade patterns of organization in order to utilize existing building facilities. This forced experimentation with different grade organization has lessened concern about fitting traditional patterns and in a few cases possibly even permitted innovative experimentation which would otherwise have been more difficult.

We are not suggesting that all or even most of the results of changing traditional grade organization patterns have been good. Some obviously strained situations exist which would be corrected immediately given a different set of circumstances. Still, forcing new and unique organization patterns on the local system to meet court order requirements has resulted in less concern on the part of local administrators that we talked to about maintenance of a traditional grade pattern. In one instance we worked with a system that had a K-3 primary ungraded school staffed with an almost equal number of professional teachers and para-professional teacher personnel. The school was involved simultaneously with a number of innovative federal programs which appeared to have enjoyed great success. The system is now faced with the problem of motivating students who will move into a traditional setting in grades 4-6 unless extensive changes are undertaken in that school also. It is our understanding that major changes in the method of operating the 4-6 grade school are planned. In this particular system the unusual grade pattern organization that resulted from a federal court order actually permitted innovation and experimentation on an early level involving all grades of one particular school.

On a State-wide basis, schools should not be encouraged to fit a particular grade organization pattern to meet any arbitrary requirements. The use of different patterns, even within the same system, can be an incentive for planning innovative change.

4. Basic changes in the method of distributing State funds to local school systems should be undertaken following a complete review of a wide variety of State and local educational program and financial considerations.

The current allocation of teacher units in the Minimum Program Formula not only fails to recognize the need for, but serves to minimize the importance of, school support personnel and therefore discourages innovation.

As has been pointed out many times before, no provision for individual school related personnel, other than teachers and a principal, is provided in the Minimum Program Formula. If we were to assume that the local administrator took the Minimum Program Formula literally and provided a teacher-pupil ratio of 1-28 in all of his classes, and the district provided only that local support required by the State formula, he would be operating a system without any para-professional, guidance, library or clerical personnel. Obviously, such a staffing pattern is totally unrealistic and this fact is recognized by everyone concerned with education in Alabama. Still, the law which prescribes the Minimum Program Formula clearly does not officially recognize that it is unrealistic.

By placing the total emphasis of the Minimum Program Formula on the traditional teacher-pupil ratio basis and failing to provide for any support personnel, the law encourages thinking in traditional terms and consequently discourages innovation. We believe that whatever funds are available for disbursement to the local systems under the Minimum Program Formula should provide for support personnel even at the risk of de-emphasizing the teacher-pupil ratio figures which become less important as additional para-professional

personnel are utilized in local systems. *We are not advocating piece-meal changes* be made in the Minimum Program Formula. We believe that the Minimum Program Formula should be studied in depth and that various implications need full consideration, which have not been touched on in this general management review of only four local systems. Immediate permissive legislation allowing the use of State funds for the employment of para-professional personnel would permit more local flexibility. However, basic changes in the method of distributing State funds should be undertaken only after a full review of a wide range of local and State educational and financial considerations.

5. Any revised method for distributing State funds to local school systems should consider methods through which State leadership could be exercised to encourage local innovative education programs.

Those local systems which utilize substantial federal funds were found to be experimenting with differentiated methods of staffing and organization, while those depending primarily on State and local funds did not generally experiment and innovate. This conclusion is basically a follow-up on the preceding one concerning the Alabama Minimum Program Formula which tends to discourage innovation through its apparent non-allocation of funds for para-professional or support personnel and the relation of the teacher-pupil ratio as its primary basis. Federal grants, under Title I particularly, are provided to encourage new instructional and staffing patterns.

There may be many systems in the State which cannot easily qualify for federal funds for innovative programs. There is no reason why the State should continue to appear to be the protector of the status-quo while the federal government encourages experimentation.

Leadership should be provided from the State level to encourage experimentation and innovation. The first step would involve a full study and reworking of the Minimum Program Formula suggested above. One possible consideration in such a study should be the establishment of a discretionary fund above the normal State funds allocated for schools proposing innovative programs. Leadership would also have to be provided by the State Department of Education in order for local systems to be encouraged to undertake innovative program planning.

Curriculum Development

6. The apparent shortage of locally prepared current curriculum guides, even in larger systems, suggests consideration should be given to providing more outside assistance.

We found the development of curriculum guides to receive little emphasis in any of the systems which we surveyed, though in almost every instance there appeared to be plans underway to provide considerably more material. An example of what we considered to

be de-emphasis of curriculum guides was provided by the largest system, which had full time curriculum development personnel. The guides that were available were sold to the local schools on an order basis. Even though the system had expended the time and effort to develop guides, this information was not automatically made available to the local schools. The decision of what and how many guides to use was left to the principal who had to weigh his needs for good instructional materials against all the other uses he might find for the money. When the principal requested additional wax, brooms and other supplies provided by the system budget, he got them without any charge against his school. If he needed good curriculum materials, he had to decide whether he could afford them in view of other demands.

The area of curriculum development should be a cornerstone of the leadership role of the State Department of Education. In the systems we reviewed there was apparently little utilization of the resources of the State Department of Education, outside of the vocational area. It would be unfair to say that the department does not provide full assistance, since we have not examined the extent to which services are offered. We can only say, based on a small sample of systems that, for whatever reason, the services are not being fully utilized. Any review of the State Department of Education should examine existing curriculum services and explore ways to encourage greater utilization of those services.

7. The State Department of Education should offer its computer scoring and analysis services to all systems for standardized testing whenever they wish to administer those tests for grade levels not administered on a State-wide basis.

At the present time standardized testing is provided for the fourth, eighth, and eleventh grades in all systems in the State of Alabama. Some systems follow grade organization patterns which make it desirable for them to administer tests at different levels. Others, at least one of those that we reviewed, offer standardized testing for every grade level every year. The major problem in the system which offered standardized testing for every grade level was the amount of teacher time required for scoring and analysis of the results. That superintendent estimated that the scoring and analysis required 20 additional hours of each teacher's time. The manual scoring and analysis was also considered less accurate than that provided by the computer service.

The Department of Education now provides computer scoring and analysis of the State-wide standard testing for the fourth, eighth and eleventh grades. While we have not examined the department's computer system it is apparent that the basic computer programs already exist. The additional work load would possibly result in overtime work or more computer personnel on a second shift during the peak time of year if results are to be provided promptly. *Obtaining prompt results of the tests are vital* to the success of the program. Those tests given early in the school year serve no purpose in planning the curriculum or instructional programs if results are not available until most of the school year has been completed.

II PLANNING AND MANAGING SCHOOL PROGRAMS

In the drive for school "accountability," several states have undertaken efforts to bring about local school system Planning, Programming and Budgeting Systems. Simply put, a Planning, Programming, Budgeting System (PPBS) is an approach that can be used to plan and manage the activities and resources of a school system in its efforts to develop improved educational programs. It brings together several program planning techniques by determining the relative cost and effect of various proposed programs and for choosing alternative ways the system can allocate available resources to achieve its defined goals and objectives.

With the exception of the one larger system we reviewed, which was making some effort to begin moving in the direction of a Planning, Programming, Budgeting System (PPBS), budgeting appeared to be generally thought of as an accounting process involving pulling some figures together and extending them for another twelve months. In fact, the process was undertaken as late as possible in the fiscal year. Three of the four systems we reviewed had relatively small budgets, but even these smaller ones involved planning and expenditure from $1,500,000 to $3,500,000 annually. The largest system had an operating budget in excess of $31,000,000 and a capital budget of over $5,500,000. Even in that system the budget process had been relegated to a quick accumulation of figures during the last two months of the fiscal year until very recently. This year that system had instituted a budget preparation calendar involving five months of the fiscal year and offered a PPBS in-service training course to its key administrators.

The lack of local system activity in this area is not difficult to understand. Existing regulations of the State Department of Education concerning budget formats and financial reporting do not encourage local school systems to think in terms of programs and costs and reflect lack of appreciation by local school administrators of the budget process as an effective management analysis and planning vehicle.

With the exception of a few federal programs, whose total costs were grouped together to satisfy federal requirements, we found no evidence of an existing system designed to bring together all related costs for identified programs and permit systematic evaluation of program effectiveness.

We found no utilization by any system of criteria for the determination of staffing additions for any of its maintenance services. For example, no system related the number of custodians or building maintenance personnel to the number of classrooms or the square footage and type of buildings to be maintained. None related the number of groundsmen to the acreage of property to be maintained. In the largest system, over eighty persons were engaged in building and grounds maintenance work, but we were unable to determine just how many were actually involved in the grounds maintenance work. Their primary assignment was considered to be building maintenance and grounds and were worked on an "on-call" basis. Thus, if a principal was not particularly concerned about the appearance

of his grounds, neither was the central maintenance personnel. The system had no established system-wide standard of grounds maintenance. Clearly, a decision had been made either conscientiously or by default that grounds maintenance was considerably less important than many other programs and therefore could be taken care of on an "on-call" basis.

In no instance did we find the cost of the operation of an individual school programmed or accounted for separately. While each principal was burdened with non-education problems including supervision of custodial and cafeteria personnel, collection of fees and, in effect, his own little operating budget, he was not expected to participate in the budgeting process involving general system funds. He was not given any budget for instructional supplies and materials or custodial supplies for his school and expected to either project the requirements in advance or to be held responsible for the use of materials in his school purchased by the system-wide budget.

In summary, system costs were generally lumped together under major headings and no effort made to determine the cost of any particular program. When a new program was adopted, the operating costs of that program, with certain exemptions involving federal funds, were not generally brought together and projected into future years to aid in the decision-making process. The replacement of capital items was not often planned ahead to enable the use of the most cost effective replacement method and to level of annual expenditure pattern for capital outlay. There was no apparent utilization of staffing ratios in the larger systems to determine the projected level of service or as criteria for deciding whether additional personnel was justified.

If the current inventory indicates that the budgeting practices of the school systems we reviewed are typical of others in the State of Alabama, major changes must take place concurrently on several levels before the State can anticipate its local school systems utilizing the techniques of Planning, Programming, and Budgeting Systems. The changes which must occur will have to include at least the following actions:

1. A review of budgeting and financial reporting requirements for local systems and a revision of State law and the regulations of the State Department of Education to reflect program emphasis;

2. Establishment of an ongoing educational program for the superintendent or assistant superintendent for business of each local system combined with State financial incentives for those systems whose key personnel successfully complete the training; and,

3. Provision of ongoing management technical assistance consulting for local systems.

These steps should be viewed as parts of an integral long-range program designed to significantly increase management effectiveness in local school systems. Separate components of the integral program will be presented as individual recommendations followed by comments.

Review of Budgeting and Financial Reporting Requirements

8. A review of budgeting and financial reporting requirements should be undertaken to permit redesign of State Department of Education regulations in order to encourage local school systems to plan and account for their expenditures on a program basis.

Title 52, Section 236 of the Code of the State of Alabama provides:

"There shall be a budget system for the public schools of each county and city in the State for the purpose of promoting economy and efficiency in the finances of said public schools, and on or before October first of each year each county and each city board of education shall prepare and submit to the State Superintendent of Education the annual budget to be adopted by each such county and each such city board of education, while budget shall be prepared and submitted according to the classifications and items specified on forms provided therefore and in accordance with the regulations of the state board of education..."

Before local systems generally can be expected to begin to think and plan in terms of total program costs the leadership role of the State Department of Education must be exercised. Existing legislation quoted above clearly does not restrain the Department. At the present time, the annual school budget form consists of line item expenditures divided into several major categories. However, many of the charges for custodial, instructional and other supplies, as well as numerous fixed charges are budgeted in such a way that it is impossible to summarize total program costs from examining the budget document.

One item which does appear to represent a total program cost is simply labeled "Transportation." In one relatively small system with a large busing operation, this single item totaled almost $100,000. The exact amount was determined by the allocation from the State in the Minimum Program Formula. Apparently, all costs related to transportation could be charged to this one code without consideration of whether they involved salaries of regular bus drivers, fan belts, overtime payments for special school transportation functions, or whatever. This type of item provides no control and encourages a lack of planning for funds allocated to the transportation program. Some other systems may plan their allocation of funds, but if they do the planning it is based on their own initative rather than resulting from outside leadership.

It has been said that a bad, but consistent, accounting system is better than a good one that is constantly being changed or "improved." Adapting to new fiscal reporting procedures can be a frustrating experience. Yet the State of Alabama local school system budget and financial practices have too far to go to expect anything less than the long-range program outlined in this report to achieve success. To avoid as many of the problems as possible associated with changing budget and financial system reporting requirements, changes implemented within existing State legislation should *move in the direction* of

the eventual goals of Planning, Programming and Budgeting System (PPBS). In other words, the concepts should be on a program cost basis even though any initial program cost measurements will be crude compared to what can be developed over a period of several years as outlined in this report. The initial changes in the system must be planned by persons who understand the eventual goals to permit the changes to move logically toward the eventual system.

9. Existing State legislation should be reviewed and changes recommended when necessary to permit local school costs to be reflected in the locally prepared budget and financial reporting programs.

When the total cost of a new program is being considered, associated local charges can be pulled together. However, if these are integral costs of the program funded outside of the local budget they are likely to be overlooked. A prime example of a major cost never reflected in local school budgets involves the employer cost of providing social security and retirement benefits for employees included under the Minimum Program Formula. These costs are paid directly by the State, even though they constitute a significant percentage of total salary costs and thus the cost of any program under consideration. In order to reflect the total cost of operating a particular program, or a total local system, these employer payments should be included in the local budget.

In our review of local systems, this case constituted the only instance we observed of a State law which discouraged effective program budgeting. A review of existing legislation will likely reveal others.

School System Management Training

10. The State should provide advanced management training for key local school system administrators and financial incentives for those systems which voluntarily participate.

The establishment of a comprehensive, truly substantive training program geared to the needs of the superintendents or assistant superintendents for business, could be a significant factor in upgrading the budgeting and general management practices of local systems - provided that the local officials take advantage of the available training. Based on our detailed examination of four systems, and at least casual conversation in the remaining three included in the personnel position of the overall study, we would not anticipate a major response on the part of the local school administrators, simply because there has been so little emphasis on the budgeting and management aspect of school administration in the past.

Training Sponsorship

To be of any value, such a course or courses should be geared to the equivalent of college graduate school work and could be developed by a university or through outside assistance. The development of the course content should not be handled by the university's department of education. If it is developed through a university, the resources of the business or management department should be to utilize cooperation with professional educators in order to guarantee its applicability. If it is offered by a university it should be through the business or management department.

An alternate way to approach the training would involve utilizing outside consulting resources to design the curriculum and provide program leadership for special intensive seminar sessions. In the absence of existing personnel in a university with PPBS experience, this approach might be preferable. Should the outside development and leadership approach be utilized for intensive seminars, the work involved in contact, enrolling and generally preparing for the seminar should be performed by an existing agency in order to reduce the direct consultant's cost. The logical agency to handle that assignment would be the State Department of Education.

State Incentives

The Federal government, long ago, found ways to encourage whatever it considered to be desirable activities through offering tax advantages to individuals and corporations and incentive grants to governmental units. Certainly, the State of Alabama should consider the improvement of management capabilities in local school systems expending several hundred million dollars, the majority of which are State funds, to be a goal worthy of pursuit. In order to assure utilization of the recommended training, the State should fund the development of the course content, the payment of major costs associated with attending the course and provide some continuing annual financial incentive for each system which sends a key employee (superintendent or assistant superintendent for business) who successfully completes the curriculum. Because of the nature of the course and the critical *management support* required to implement major system changes, no official of less importance than an assistant superintendent for business should be enrolled to qualify for district financial incentive payments from the State. In other words, if the system has no assistant superintendent for business, the superintendent should not be allowed to enroll his bookkeeper for future incentive payments. Whether the State pays for the development of the course through the budget of the sponsoring university, or by payment from the funds provided through the Education Study Commission, or the Department of Education is a matter that can best be decided when preliminary planning for the program is undertaken.

The second point, providing State assistance so that no major cost will fall upon the local system in the form of tuition, is included to help guarantee wider participation by

local school officials. Simply the process of having to evaluate the need or benefit of this type of program and include in it the local system budget would prevent the participation of some systems and delay others.

Finally, the financial incentive is essential even when a course of this type is offered at little or no cost. There has been little movement towards PPBS in the local systems so far as we have been able to determine and there was little apparent interest in smaller systems with which we had contact. Therefore, there is no reason to assume widespread participation by superintendents and assistant superintendents for business in a difficult course or seminar even when it is offered free unless some direct financial benefit for the system can be anticipated.

Our financial incentive approach would involve a payment to the system of a flat amount in addition to the Minimum Program Formula allocation so long as the individual who successfully completed the course holds a key position in the local system. In order to avoid permitting a local system to instantly supplement its budget through simply hiring someone who has completed the course, the payment should not be made to a system who employs a qualified person from the outside for at least the first year of his employment. To do otherwise would encourage personnel piracy and probably reduce the number of course participants.

Long Range Effects

The educational and financial incentive effort, combined with revised State Department of Education budget forms and reports, could begin to move the State of Alabama local school system towards Planning, Programming and Budgeting Systems (PPBS). As the more basic techniques are mastered, the State might find it desirable to add additional conditions or educational requirements for key personnel in order for a system to continue to qualify to receive its annual financial incentive. Thus, the program could become one which would bring about a continuing increase in the competency of key local school management personnel.

Programs adopted under a PPBS approach involve the study of alternative ways to carry out a stated objective. The process itself has built-in procedures that insure a program under consideration for adoption carries with it not only first year budget cost estimates, but projected costs under a multi-year financial plan. Effectiveness measures are applied against current and projected future costs to permit a comprehensive view in order to allow selection of the most cost effective program. The mere process of projecting a multi-year financial plan often points out that the apparently less expensive alternative carries with it future higher costs which could cause it to be the more expensive method of reaching the stated objective.

If we were to assume that eventually key personnel from 100 of Alabama's 126 local school systems successfully completed the course and the State of Alabama paid each

of those systems a $10,000 financial incentive in addition to their Minimum Program Formula allocation each year, the program would have an *apparent* ultimate annual cost of $1,000,000, or less than one half of one percent of 1970-71 *State funds* handled by local custodians of school funds. If the courses were well-designed and follow-up provided as suggested in the following section, the effect on the operation of school systems spending several hundred million dollars a year should be the development of far more effective educational programs and the avoidance of many costly mistakes.

A number of states have begun moving in the direction of PPBS. Some agencies have found the introduction of totally new systems have not solved all of their problems, but created confusion and lowered employee morale. If the practices of most school systems are similar to those which we observed, we are convinced that a sudden attempt to impose PPBS on all local systems would result in failure. Some background in the meaning and need for the systems approach must be provided key personnel before success can be anticipated. We believe that this background can be best provided by (1) a shift in budgetary and reporting practices; (2) graduate level courses or seminars designed to fit the needs of Alabama local school systems beginning with the more basic management improvements; (3) the provision of a financial incentive to local systems to insure broad participation; and (4) upgrading the course content through offering additional courses as the level of sophistication of key local district personnel increases.

Continuing Technical Assistance for Local Systems

11. In order to obtain maximum benefit from the local school management training program, the State should provide a small follow-up consultant team to assist the local school administrator implement new systems.

The provision of continuing technical assistance for local school systems will become even more critical when the State has invested funds in the development and offering of course material for key personnel in local systems to encourage the installation of program budgeting. A superintendent or assistant superintendent for business who returns to his local system may find it difficult to single-handedly implement many of the things he has learned about budgeting and financial reporting processes. The educational background he has received will allow him to coordinate and be the moving force in implementing new systems. However, time limitations and other pressures may prohibit him from being able to effectively install a new system. The lack of background by others on his staff could make it difficult for him to effectively carry out major revisions. However, with his background and interest, he would be able to effectively utilize outside help in expediting systems improvements.

A team of two or three professional consulting personnel (the exact number to be determined based upon response to the educational offerings) should be able to work with any local system requesting assistance in implementing major budgetary and general management improvements. In the event help is not sought, an unlikely possibility if the

course content is properly structured and well presented, the consulting team should feel free to offer this help to any administrator who has recently completed the course. Only in this way can the State be assured of minimizing the possibility of key local system personnel taking the course and filing the knowledge, while collecting the system's financial incentive.

12. The precise method through which the management technical assistance program for local systems should be administered requires further study, but we basically see four different approaches at this time which could involve either: 1. The staff of the State Department of Education; 2. The staff of a university which might develop the educational program; 3. Outside consultant staff provided by the Education Study Commission; or, 4. Permanent professional staff of the Education Study Commission.

Final determination of the method to provide this management technical assistance service should await further study which will produce considerably more information upon which to base this key decision. Still, we will review some of the considerations of each of the four methods outlined above and point out some of the additional facts which should be developed during the current State-wide study effort in order to obtain proper information upon which to base a plan of management technical assistance for local systems.

1. *Technical Assistance from the State Department of Education*

Logically, the State Department of Education is the agency to provide local school districts managerial assistance, provided that properly qualified personnel could be made available and program emphasis be maintained.

The staffing of the proposed unit would create a major initial problem. Much has been written and said about the need for the department to obtain more flexible and competitive salary scales for its professional personnel. Personnel required in this management technical assistance program should be innovative and self-starting and would demand competitive salaries, though not necessarily the protection of the merit system. The record of the State Department of Education and of local school districts in Alabama has not indicated any significant concern with the application of a systems approach. Thus, it would be unlikely that many professional educators in the State of Alabama would be qualified to assume the duties of the professional staff that we envision. They probably could not be trained on the job, since the department would have to have highly qualified personnel in this area to provide the training. Almost all of the past recruitment of professional personnel by the Department of Education has been from professional educators with experience in the State of Alabama. A successful Department of Education administered program would require the department to seek professional non-educators to staff this new service, while providing a degree of operating independence that would permit them to be at times

critical of the management of local school systems within the State. Even given the right personnel with a degree of freedom in the operations, the new program would demand dedication and commitment by the top department officials and the Board in order to succeed. Without this commitment, the program could easily, even unintentionally, be assigned to a minor role through decisions and actions of the administrative staff and the State Board of Education. The final decision of whether to establish this service as a part of the department should await some further analysis of the department's operations and an indication of the interest and commitment of the administrative personnel and State Board of Education.

2. *Technical Assistance from a University*

The provision of a management consulting team from the university which developed the educational program would offer a number of coordination advantages. As a part of the university that developed and offered the program, the team would be in a particularly effective position to encourage the use of its follow-up service. They would be aware of which local school systems would be particularly receptive to the service based upon reactions during the course.

The potential disadvantages of placing the service with the university are similar to those outlined for the State Department of Education. The staff must be professionally qualified in PPBS. Under no circumstances, should the university view this program of technical assistance as an opportunity to provide existing professors with outside part-time consulting assignments, unless those professors are qualified and recognized as experts in PPBS. Even if the professors are recognized in that field, the assignment of university personnel on a part-time basis carries with it dangers of the program being relegated to a minor role and considered "fill in" work second in importance to whatever are primary concerns at the moment.

Providing the management technical assistance service through a university should receive consideration as one method of obtaining an outside independent view that could at the same time be highly coordinated with the program of management education for educators.

3. *Technical Assistance from Outside Consultants*

Provided that the continuing management program for educators is undertaken on the scale suggested, this approach should not be considered as a permanent method of providing local school systems assistance in developing PPBS capabilities. There might be some advantages to utilizing outside consultants furnished to the local system by the Education Study Commission during an interim period when the program is only getting underway.

On a long term basis, however, the overall program of continuing education and follow-up management technical assistance should generate a sufficient volume of local

school system assignments to justify the creation of a small full-time staff of professionals whether as a part of the State Department of Education, the sponsoring university or as permanent staff of the Education Study Commission.

4. *Technical Assistance from the Education Study Commission*

A small permanent staff of professionals reporting directly to the Education Study Commission offers several advantages. Its mission would be clearly defined and it would be unlikely to be de-emphasized in a shift of priorities which could take place in a larger organization.

The staff could work closely with the State Department of Education and the sponsoring university to continually monitor the effectiveness of programs which both offer. The staff would offer an outside view of local system effectiveness and be more likely to point out apparent deficiencies in a local system. Finally, the staff attached to the continuing Education Study Commission would provide the Commission with a firsthand source of information and independent evaluation of how the local systems, the Department of Education and the sponsoring university work together to accomplish Planning, Programming and Budgeting Systems for local Alabama school systems.

Even with all of these advantages, assignment of this function to a university of the Department of Education would be preferable, provided all of the reservations previously expressed could be effectively overcome. Thus the State could avoid involving an additional agency.

III FINANCIAL MANAGEMENT

13. While our discussions with local school officials clearly established the desirability of changing the fiscal year from October 1 to July 1, from the local viewpoint, broader considerations overrule such a change.

As the local school systems move toward Planning, Programming and Budgeting Systems (PPBS) the need for a fiscal year which coincides with a school year will assume even more importance. Even a shift in the fiscal year of one month to September would be of considerable assistance in planning budgetary expenditures for local school systems on the basis of a school year.

In our review of the recommendations of the 1967-68 Study Commission, which recommended a change to July 1 in the fiscal year, we reported:

> *"To our knowledge, nothing has been done to implement this recommendation. The recommended change in the fiscal year involves numerous considerations which possibly were adequately reviewed at the time the 1967-68 report was prepared. However, according to Dr. Brown, there is no unified opinion at this time that such a change in the fiscal year would be advantageous. The existing fiscal year coincides with the other departments of the State of Alabama. A change to July 1st would permit the year to coincide with the Federal government's fiscal year, but Dr. Brown stated that this is not as important as it might appear on the surface because of a number of Federal programs which do not themselves follow the Federal fiscal year. He also indicated that he would feel a need to build a considerably larger cash operating fund based on the revised fiscal year because of the major expenses which would occur in the first quarter of the new fiscal year. Such a change would probably also involve a thorough review of the entire code of the State to permit alteration of many existing references to the current financing period. Our later discussions with several local school system superintendents did indicate general agreement in favor of the fiscal year change."*

In spite of the hopefully increasing importance of the budgeting process as the local districts begin to move toward PPBS, the possibility of even a minor shift of only one month in the fiscal year fades when other State and Federal considerations are reviewed. Planning local school budget years which begin approximately one month after a new school year obviously poses some additional, though not insurmountable problems for school administrators.

Investment of Idle Funds

14. Advancing the date of the State Minimum Program Formula monthly payments to local school systems by less than one week would *permit* the four local systems we reviewed to increase their local revenue $70,000 *annually* at a *one time* potential cost to the State of $1,350.

Each of the four systems we reviewed had major payrolls due on the first of each month. They now normally receive their monthly Minimum Program Formula payment on the third or fourth day of each month. Consequently their cash position is lowest for a three or four day period at the beginning of each month. Each system had to maintain cash balances for the entire month large enough to permit them to meet major payrolls due on the first and operate three or four days until receipt of a monthly State check. If each system could be assured of receiving every State check *prior to* the first of each month, an amount of cash equal to the State check could be continually invested. The system would still have at least as much cash available as it now has during the three or four days immediately following the payroll paid on the first.

We reviewed the budgets of the four systems and determined the amount of the monthly payments of each based on the Minimum Program Formula. We calculated the anticipated annual interest that could be earned if that amount of money were invested for a twelve month period at an average four percent return. One smaller county and another city system could earn only $1,600 - $2,800 annually each. Another small city system could earn well over $5,600 in interest while the largest system we reviewed could earn $58,000 annually. If this same pattern were true throughout the State, and we do not suggest that it is without having examined other system practices, the maximum potential additional local revenue for all local schools in Alabama could be as high as $732,000 annually. The total one time cost to the State could not exceed $14,000.*

The one time loss to the State was calculated for seven days of interest on investments. All of the local system income estimates were based on each system taking maximum advantage of the unique cash flow patterns we found to exist and continuously investing an amount of money equal to the full amount of the Minimum Program Formula monthly check they would regularly receive one week earlier. Such ideal circumstances cannot be expected to exist in every local system in the State. Even given the circumstances existing in the four systems we reviewed not every system could be expected to make the fullest possible use of this opportunity. However, with the change in the monthly payment date, accompanied by an explanation of what it could mean to the local system and continuing State leadership to encourage sound financial management, annual school revenues in the State of Alabama could be significantly increased.

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* Based on local system's investment of all of one month's Minimum Program Formula funds using $219,631,489.00 1970-71 appropriation shown in 1971 Department of Education Annual Report.

15. Periodic financial reporting should be required of each local school system by the State Department of Education, which should include provision for indicating invested funds and the high and low general funds cash balances.

We found varying degrees of awareness and interest in investing surplus cash on any regular basis to earn additional income for local systems. The sample we reviewed was too small to produce any conclusions of State-wide significance concerning the effectiveness of local system investment programs. Of the four systems we reviewed we did find one which regularly invested its surplus cash. That system had taken steps through the Board of Education which authorized the Superintendent of the Board Finance Committee Chairman to invest regularly in certain approved types of securities without having to await Board Meeting for approval of each transaction.

The financial reporting procedure we recommend should place in the hands of several decision-makers in the Department of Education a concise folder showing the financial history of each system for whatever records retention period is determined. We have not examined internal operations of the department. Even without that examination we can envision instances where this type of financial background file could be of great assistance when a department administrator is called upon to make a decision affecting a particular local system.

If the department felt that the reports were of no value to them and only resulted in creating additional paper work, their existence would still be justified on the basis of potential value to the local systems. These monthly reports would create a situation in which local administrators would be forced to review their financial operations each month and possibly begin to question their own financial management practices. We found in some instances, even when very substantial amounts of cash were involved, that there was no record which summarized the idle funds available for investment. Knowledge of current cash position is a prerequisite for planning any investment program. The reporting effort would bring investment opportunities to the attention of local school administrators.

Selection of Depositories

16. State legislation should be drafted in cooperation with representatives of other units of local government to prescribe a systematic procedure for the selection of banks to be used for the deposit of public funds.

Our recommendation is not limited to the local school system alone, since we anticipate that the nature of the problem would be the same for cities, counties and special districts. Because proposed legislation could have such a broad effect on local governmental operations, we have not proposed special methods, but instead suggest that they can best be worked out when all interests are represented.

The desirability of some systematic procedures for the selection of a bank should be apparent. The local school system and other local units of government often constitute the largest "business" in a particular community. Banks compete for the opportunity to serve large private businesses. It is demonstrable that they compete either formally, informally or politically to serve the business of government in the absence of systematic procedures to govern the selection of governmental bank depository.

We saw evidence of "informal systems" involving understandings where the funds of the system were rotated from one bank to another every one or two years. We also saw the worst potential example, from the standpoint of the taxpaying citizen, involving the division of funds into several different banks to try to satisfy everyone. This type of arrangement makes the system's accounting process more complex than necessary and clearly reduces the probability that the maximum amount of surplus funds can be effectively invested on a regular basis.

Even the informal systematic rotation, which may be satisfactory to the local Board of Education and banks, might not be in the best interest of the public. Would the School Board find that it could receive better service, reduced interest rates on operation loans, increased interest paid on certificates of deposits or possibly even cash in checking accounts if it required each bank to compete with a written proposal in order to serve as its depository?

There is no reason to suspect that either service or interest rates paid or received would be *less* beneficial to the local system if a systematic procedure were provided for the selection of a depository. An additional benefit which should accrue to the local system would be increased public confidence. If nothing else were accomplished by a formal procedure, no money were saved or earned and no increase in the level of service experienced, placement of the selection of the depository on public record based on objective criteria should be sufficient reason to warrant the enactment of new State legislation. The final decision would remain the prerogative of the local board. Only the procedures would be prescribed, just as they are for local systems purchasing costly supplies and materials, in order to protect the interests of the taxpayer.

IV SUPPORT SERVICES

While a number of the school services we reviewed in other sections of this report could also be properly characterized as "support services," we have combined consideration of the related functions of purchasing and warehousing, custodial, grounds and building maintenance and transportation in this section.

Purchasing and Warehousing

17. Although we found purchasing policies and procedures in the systems we reviewed to be generally refined and standardized, we recommend inter-system cooperative purchasing be undertaken in accordance with the program we propose in recommendation #24.

We did find in a few instances that small systems were taking advantage of State contract bid prices in items such as tires, batteries, light bulbs, audio-visual tubes, etc. Participating in a State contact purchase price can be particularly helpful to smaller systems.

There probably is no major advantage to be gained for most local school systems through purchasing jointly with city and county governmental units except in very few categories of similar supplies and materials. The major possibility for improvement lies in cooperative purchasing between several local school systems and this is where interest was shown in the systems. One superintendent in central Alabama said that five counties were considering some joint purchasing and were checking its legality at that time. Another superintendent reported that ten systems in south Alabama were discussing cooperative purchasing, and added that they had already obtained an Attorney General's opinion that the joint purchasing approach would be legal.

Cooperative purchasing appears to be one of the prime potential functions which could be explored in considering regional approaches involving the joint performance or contracting of some administrative functions. Further investigation of regional approaches and the role that could be played by the State Department of Education are reviewed in Section V of this report.

18. We believe that substantial improvements can be made in the central storage, inventory control and dispersal of materials and supplies in smaller systems through a review, reassignment and rescheduling of the duties of related full and part-time maintenance, delivery and warehouse personnel. These functions should receive the attention of the proposed technical assistance management consulting team at the time they work with any small system concerning its budgeting and financial reporting systems.

The smaller school systems we reviewed generally seemed resigned to ineffective control of centrally stored and dispersed materials and supplies on the assumption that inadequate personnel was available to permit a good control program. Our experience in smaller systems has indicated that adequate personnel is available when properly scheduled. Even smaller systems usually have several full or part-time personnel engaged in maintenance, delivery, warehouse and bus driving duties. Other opportunities for combining the central warehousing positions may exist with personnel in charge of textbooks or audio-visual materials. An analysis of amount of time required for various functions and the pattern of scheduling will often allow shifts in schedules and possibly in duties to permit one person to be in charge of the receipt and delivery of centrally stored materials and supplies during at least specified hours of the day. Provided firm schedules are established, the warehouse can be secured during other hours.

Even smaller systems often have inventories of up to $50,000 during certain times of the year. Exact methods by which these inventories can be better controlled cannot be prescribed for State-wide application. Each case requires detailed examination of the duties and schedules of the personnel in that particular system. We believe that the proposed management technical assistance consulting team could greatly assist local systems in this area.

Maintenance and Transportation

19. As the result of our management review of selected local school systems we have suggested questions to be included in future Education Study Commission local school system inventories which could be correlated with the inventory of facilities in order to produce a ranking of comparative staffing of local systems in relation to the types and area of buildings to be maintained.

The Appendix of this report contains a list of questions which we planned to ask local school officials. We did not ask all of the questions shown relating to staffing of building maintenance facilities, since it became apparent that correct answers would have required considerable research and served little purpose. Information on buildings and grounds facilities is being accumulated in a questionnaire prepared by the State Department of Education and supplemented by the Education Study Commission inventory.

We have suggested questions to be included in future Education Study Commission inventories to furnish specific staffing figures for custodial and building maintenance activities. This information can be more easily furnished after local systems are encouraged to adopt a program approach to budgeting. When accurate staffing data is available, a computer print-out could summarize the staffing related to the types and sizes of buildings and automatically list those systems which appear to have exceptionally high or low staffing in relation to the work to be accomplished.

This information could then be of great value to the proposed management technical assistance study team. At any time this team is planning to review a local district concerning the budgeting and financial reporting of a system, it could review the custodial and building maintenance staffing of that system. An exceptionally high or low staffing pattern would warrant further investigation.

20. Though the maintenance of grounds is an area subject to the application of staffing ratios, we found it to be the least planned and evaluated of all school maintenance services. As in the case of custodial and building functions, we have suggested questions for future Education Study Commission inventories to permit correlation of staffing information with other available data and produce a ranking of various system staffing patterns related to the acres and types of grounds to be maintained.

Seasonal considerations naturally cause a wide variation in staffing required for the grounds maintenance function. However, it appears that grounds maintenance duties are so intermixed with others that some systems really did not know how much manpower was devoted to this activity. An example of this problem is cited in Section II of this report.

As in the case of building and custodial staffing reports, systems which indicate exceptionally high or low staffing ratios may prompt the proposed management technical assistance study team to examine the function in more detail at the time of its visit.

21. School systems with only a few buses to maintain should consider the feasibility of centralizing their maintenance with a city government's shop facilities to permit the acquisition of better shop equipment and facilities, employment of qualified personnel and the creation of a sufficient volume of work to justify a system of inventory control and equipment cost records.

When a mechanic is expected to order and stock parts, schedule and repair vehicles and maintain time and cost records, it is unlikely that he will perform all of these functions well. If he is a good mechanic he will usually tend to neglect the inventory control or the time and cost records. If not, the paper work can easily become a major portion of his duties resulting in the system paying a mechanic's salary for clerical work. A garage operation lends itself to specialization, but specialization can only be accomplished with volume. Other studies which we have performed indicate that this is one area where a city government and a school system can often consolidate services to their mutual advantage.

One smaller city system we reviewed operated only eight buses and the city shop maintained all of them. The system paid one-half of a mechanic's salary and had no capital or facilities investment. Based on our experience in other systems, this local system appeared to have a highly advantageous arrangement. Not all arrangements between school systems and cities would necessarily be that beneficial, but where the political climate permits it, the joint arrangement could be advantageous for both agencies.

The four systems we reviewed had widely varying problems and programs of vehicle maintenance. Even if these four systems were representative of the State, vehicle maintenance program improvements would require individual detailed examinations of records and facilities.

The systems we reviewed varied from a system with three buses operated for special events, where maintenance was not a factor, to one with eight buses in which maintenance was contracted to the city and two other systems where vehicle maintenance was an important part of the local program. The largest system with 468 vehicles, including 366 buses, was the only one maintaining any parts inventory. Another rural system maintained 36 buses and had a full in-house maintenance shop facility, but because of a special purchasing arrangement they have not found it necessary to maintain a parts inventory.

Local system vehicle maintenance problems and needs vary so greatly that only an in-depth examination of a particular system can produce conclusions and recommendations regarding the methods to improve that system's vehicle maintenance program.

V INTER-SYSTEM SERVICES

The development of a comprehensive program of school services is often financially impossible for smaller systems. Funds must be allocated and programs instituted which serve the most students. Occasional needs, as urgent as they might be to an individual, simply cannot be met because of the overhead costs associated with setting up a new service or program involving the participation of only a few students.

Alabama local school system organization is far ahead of many other states which have fragmented system patterns involving separate elementary and secondary, as well as unified 1-12 grade districts. The American Association of School Administrators Commission on School District Reorganization concluded almost fifteen years ago that "the unified, or 12-grade, school district which is adequate in size has proven to be the best system of school government devised by the American people."

That conclusion rests on two primary points, the structure of the district and its size. When "adequate size" is understood to relate to the number of pupils enrolled, the difficulties of providing comprehensive educational programs become obvious in rural areas, even with the best system structure.

Numerous studies have arrived at varying conclusions concerning the appropriate size of a local school system required in order to be able to provide a complete range of educational programs. However, a consensus seems to have emerged which suggests that a total pupil enrollment of at least 10,000 is desirable. It is clearly not possible to provide geographically manageable local systems in rural areas with enrollments even approaching 10,000 students. As an alternative many states have turned to some type of intermediate level of school organization, between the state and local system, in order to provide more comprehensive educational programs.

The following section will briefly explore the intermediate level of school administration and some of the services it may furnish smaller systems. Then additional ways to accomplish essentially the same objectives will be reviewed. Those alternatives involve decentralizing the Department of Education services, encouraging larger systems and encouraging more inter-system cooperative service programs.

The Intermediate Unit of School Administration

Twenty-seven of the fifty states had some type of intermediate unit of school administration in 1964. This inventory of twenty-seven states involved only those which had organizational arrangements functioning *between* the local system and the state level. In some states the intermediate unit constituted the county level and furnished only token assistance on a cooperative basis to systems within the county. In other instances the

intermediate had an elected board, an ample professional staff and offered a wide variety of educational services to local systems. One intermediate level large county system, which suggested a comprehensive program for a number of urban and rural systems within the county, listed its range of functions as follows:

1. **Curricular Services**

   a. Curriculum Coordination
   b. Pupil Personnel
   c. Audio-Visual
   d. School Library
   e. Community Education Resources

2. **Special Services**

   a. Teacher Personnel Service
   b. School Board Consultation
   c. Reports and Public Information
   d. Special Schools and Classes
   e. Publications

3. **Business Services**

   a. Auditing and Processing of School Orders
   b. Accounting Control Records
   c. Reports
   d. Legal Advisory Service
   e. Purchasing
   f. Schoolhouse Planning
   g. Research and Educational Appraisal
   h. Pupil Transportation
   i. Budget and Financial Counseling
   j. Publications

The preceding list of functions indicates how closely the services of an intermediate unit of school administration parallel those of the State Department of Education. Creation of such an additional level carries with it too many implications to even attempt a surface exploration within the scope of this report. At this point we assume that the Commission would not favor the creation of what amounts to another level of governmental operation until alternative methods of bringing more comprehensive educational services to rural areas are explored.

Decentralizing State Department of Education Services

One way to meet essentially the same goals of providing more comprehensive educational service to rural systems was suggested in the 1967-68 Study Commission report which recommended decentralizing the services of the State Department of Education through the establishment of satellite stations. We reported in our review of the recommendations of that Commission as follows:

> *"This recommendation has not been implemented, but was discussed rather thoroughly with several key administrators in the State department. It was first pointed out to us that the department partially meets the intent of the recommendation through having personnel who also work with local school systems attached to colleges and universities outside of Montgomery. However, this procedure constitutes no basic change from that which was in existence at the time the recommendation was made. Further discussion indicated that the Superintendent would probably oppose the establishment of satellite stations. He felt that considering the size of the State, they were unnecessary and would tend to bring about "stagnation" in thinking through isolation of persons in the field. Instead he has instituted the use of a team approach, with three or four knowledgeable personnel in different fields jointly visiting local schools. He considers this approach superior to the establishment of satellite stations."*

We have not examined the services of the Department of Education and could not comment on the effectiveness of the team approach, though we are inclined to agree with the line of reasoning which brought the State Superintendent to conclude that this method might offer a more effective approach.

22. We recommend that any study of the State Department of Education concentrate on the types of services needed by smaller systems and the effectiveness of those services as currently provided, identification of any service gaps and departmental procedures and staffing requirements for the provision of a full range of effective services.

A portion of any such study should explore the team approach and the satellite approach as well as other methods and possible combinations. It should also follow up on all other recommendations in this report which suggest new or revised services or procedures and provide specific methods, staffing and cost figures for each.

Encouraging Larger Systems

We have already pointed out that Alabama is well ahead of many states, having avoided the school system fragmentation some have had to endure. In some cases that fragmentation possibly led to patchwork solutions involving additional layers of school administrative units which might not otherwise have been required.

Still it is possible for a city of 5,000 population to break away and form its own school system under existing legislation. No criteria exists concerning what guidelines, if any, should be applied to regulate the formation of new systems or to encourage the mergers of existing small systems. While the 5,000 population requirement for the formation of a new system is a major improvement over the previous requirement of only 2,500, it is clearly arbitrary. There is no review of new systems which might be formed, the probable effect on the quality of educational offerings which the new system can provide or, perhaps more importantly, the probable effect on the quality of education of the students remaining in the original system.

If well defined criteria could be provided, it would be advantageous for the State, which provides the bulk of funds for public education, to adopt legislation designed to encourage the retention of systems bearing certain characteristics and the merger of others. The guidelines would have to be carefully drawn to prevent the State overriding the formation of a new system for which unique local justification exists.

23. We recommend that a study be undertaken to determine factors which contribute to effective school system operation and that guidelines be established in State policy which would encourage system mergers under proper conditions and discourage the creation of new systems except when it could be demonstrated that the quality of educational offerings would not suffer.

Inter-System Cooperation and Contracting

Another method of providing more comprehensive education service in smaller school systems lies in the increased use of cooperative agreements between systems. Cooperative agreements may only involve contracting some administrative service to another system best prepared to perform that particular service or it may involve contracting one or more services among several systems. In our interviews with four local superintendents we found one example of contracting and two of potential multi-system cooperative agreements. We recognize that other examples which did not happen to be mentioned during our interviews possibly exist in some of these same systems.

In one small city school system, we found that high school scheduling was done by another larger nearby city school system on its computer system. We previously pointed out interest at the time of our field visit on the part of two systems that were investigating joint purchasing agreements involving several systems.

These instances barely touch the surface of what could be accomplished through inter-system cooperation and contracting. Significantly, however, they indicate a willingness on the part of the local officials to work toward better and more comprehensive services utilizing vehicles of inter-system cooperation when they serve mutually beneficial purposes.

This willingness to consider new approaches is the fundamental requirement to achieving any degree of inter-system cooperation. In addition to willingness, cooperative arrangements, especially those involving several systems, may require considerable basic research and the establishment of procedures and safeguards to guarantee that each system receives the quality of service it requires and pays only for its fair share of the total cost. Local school officials who must be concerned first with the quality of education within their system and the numerous daily concerns of operation, can rarely be expected to have time to devote to the development of complex inter-system cooperative agreements. It is to this point, providing assistance to the local educators in organizing cooperative inter-system programs, that we will address our recommendations.

First, what are some of the potential areas of inter-system cooperation and contracting? Contracting is most obviously feasible when a large system, already operating such specialized programs as computer and special education services, is neighbor to one or more smaller systems that cannot justify the major cost of such programs. When an established program is serving a large number of students or records needs, then a slight increase in volume resulting from participation of another smaller system may be feasible without disrupting the larger program. It may even work to the advantage of the larger system through bringing about better utilization of an already established program and consequently improving the cost/benefit ratio. In these contracting instances the initial set up problems are relatively minor involving some new procedures and an agreement on a contract price that is beneficial to each system.

More complex situations arise when one begins exploring ways in which several systems might jointly establish an administrative service. Procedures get more complex simply by adding more participants. Cost sharing problems multiply compared to the simple seller-purchaser arrangement involved in contracting between two systems. Who will be responsible for performing the service? To whom will he be responsible? Upon what basis will the actual cost of performing the service be prorated among the participating systems? How much overhead cost is appropriately chargeable? These are but a few of the considerations which must be fully explored before a multi-system cooperative service can be satisfactorily established. Given the time limitations and pressing day to day problems which local school administrators must meet, it should be expected that few such agreements exist. Still, these types of agreements offer some of the most logical ways to improve the quality of educational programs and administrative services and provide smaller systems the comprehensive type of programs that can normally be offered only by larger systems.

24. In order to achieve the potential benefits available through inter-system cooperation and contracting, it will be necessary to provide State leadership and research assistance to permit local system officials to review and *voluntarily select* those programs which they feel will be advantageous to their system.

The State Department of Education should assume the role of actively researching and presenting local inter-system cooperative and contract arrangements to local school officials for their review and decision whenever it appears that agreements will be beneficial to *every* participating system. The intention of this recommendation is to provide information and research assistance from the State level for the decision of the affected local systems. The Department of Education personnel should work through the local superintendents and avoid actions which would tend to bring pressure on a local superintendent or school board to approve any agreement about which they have any reservations. This cautious approach does not infer that the department need have the concurrence of each affected superintendent merely to research the feasibility of a particular cooperative arrangement, only that it present its findings to the local systems involved for their decision and action or inaction.

As we envision this program it would involve the assignment of a team of two innovative persons devoting full time to the research and development of these inter-system arrangements. Their first step would consist of reviewing the population and geographical characteristics of local systems in order to determine those which - based on travel time - might be most likely to enter into joint arrangements. Within those areas found geographically practical, and the size of the areas could vary for different types of services, the team would begin to analyze the program strengths and deficiencies of each system. The inventory of school systems being conducted by the Commission should provide a wide variety of information not previously available. Meetings with local superintendents would be held at an early stage of the research to test ideas and interests. In-depth studies would then be undertaken on any programs that seem to generate local support and others that look promising to the study team, in the absence of total local opposition.

The research would answer all of the questions previously asked concerning responsibility, cost and overhead proration plus numerous others pertaining to policy and procedures. The result of the research would be presented to the local systems for their consideration only when, in the opinion of the study team, *every* participating system would benefit from the proposed agreement.

APPENDIX A

Questions and Subjects Reviewed with Local School Officials

Board of Education

1. How many members serve on the Board of Education?
2. How are board members chosen?
3. What provisions are made for the orientation and continued development of board members?
4. Does the board have advisory members, such as pupils or teachers?
5. Does the board have an advisory committee? (If so, for what purpose are such meetings held?)
6. Does the board hold regular meetings?
7. Are board meetings announced?
8. Does the board hold executive meetings?
9. Does the board have a prepared or written agenda for each meeting?
10. How is the chairman of the board selected?
11. Does the board have committees within the board?If so, what responsibilities do they have?
12. Does the board have written policies to govern its own operations?
13. What are the kinds of decisions which the board regularly makes? (i.e. appointment of personnel, adoption of budget, acquisition of property, etc.)

Policy Development

1. Has the board adopted written policies in all areas of operation (personnel, pupil control, school food service program, use of school facilities by community groups, etc.)?
2. What procedures are following in the development of policies?
   A. What outside agencies, if any, are consulted for ideas and assistance in policy development (i.e. State Department of Education, other districts, universities, etc.)?
   B. Do teachers, pupils, and others affected by policies or charged with the responsibility of implementing policy have an opportunity to participate in policy development?
3. Are written policies available to staff members and lay citizens?

Board - Administrative Relationships

1. What is the relationship between the board and superintendent?(Open-ended discussion type question to identify basic relationship and problems or concerns.)
2. Is there a written policy which sets forth or defines this relationship?
3. Does any other staff member report directly to the board or make recommendations to the board?
4. Does the board have written class descriptions for the superintendent, his assistants, or all other professional and non-professional personnel? Are pay ranges established for all classes?

Administrative Organization

1. What assistants does the superintendent have on his staff (in what areas)?
2. Does the system have a written organizational chart? If so, is the chart distributed to all personnel?
3. What provisions, if any, are made for lateral communications among assistant superintendents?
4. Do the positions of assistant superintendents lie in the channel of authority or are they advisory positions?
5. What is the relationship between principals and the superintendent? Between the principals and assistant superintendent?
6. What patterns of grade organization exist in the system (6-3-3-8-4, etc.)?
   A. Do these patterns exist by choice or because of outside constraints (money, facilities, court orders, etc.)?
   B. If because of constraints, what pattern is considered most desirable for the local district and why?
   C. What steps and/or additional resources would be required to achieve the more desirable grade organization pattern?
   D. What assistance is available from the State Department of Education in this area?

School Organization

1. What kinds of staff personnel or special service personnel do principals have in the schools (assistant principals, counselors, secretarial assistance, etc.)? What unmet needs, if any, do you consider critical?
2. How are pupils in the local school organized for instruction (self-contained, non-graded, departmentalization, etc.)?
3. Does each school have written philosophy and objectives? If not, do you see a need for it?
4. Total enrollment and breakdown.

Curriculum Development

1. Are courses of study or curriculum guides available in each subject area for all teachers?
   A. From what source(s)?
   B. Are they adequate and applicable locally?
2. How and in what subject areas are specially prepared curriculum materials prepared (i.e. Industrial Arts, Home Economics, Vocational Education, Business Administration, etc.)?
   A. Are outside standards provided and, if so, by whom?

B. Is outside assistance available and utilized? If so, how is any outside assistance adapted to fit the local need? If not, do you see a need for such assistance and how could it best be provided?
C. How do you evaluate the effectiveness of locally prepared curriculum materials?

3. To what extent do pupils and lay citizens participate in curriculum planning and development?
4. What provisions are made for continued staff development (pre-school, regular in-service programs, released time, etc.)?
5. What provisions are made for continuous evaluation of instructional programs?
6. To what extent does the system participate in student teaching programs or other cooperative programs with colleges and universities?
7. What is done in the system to encourage and support experimentation and innovation?
8. How much assistance do you utilize or consider to be available from the State Department of Education in the entire area of curriculum development?

Budget Preparation and Control

1. Who has the primary responsibility for the development of the annual budget?
   A. When is the process begun and what are the major target dates and steps required?
   B. What is the involvement of the superintendent in the budget preparation process?
2. Are any indexes of cost/benefit applied within the district to its operation at the time of budget preparation to measure program effectiveness or control allocations on any formula basis? (Examples in support operations might include the assignment of custodial staff, grounds maintenance staff, allocation of maintenance personnel, etc.)
3. Does the district budget present a comprehensive picture of all revenues and expenditures including local, State and Federal revenues and special programs?
4. Does the budget group and present total program costs?
   A. If yes, are the total program costs related to the number to be served?
   B. Has the district made any changes in recent years to move toward this type of budget?
   C. Is it considered important?
   D. Are there any plans to move in this direction?
5. Is it considered that the State Department of Education or any other outside agency has the expertise and is available to assist the district in reviewing and revising budget practices?
6. Are budget control financial records maintained which permit periodic review of total program costs?

7. What budget control financial reports are prepared and upon what schedule?
   A. Who receives copies within the district?
   B. What financial reports are distributed outside and to whom?
8. Does the district project expenditures into future years to schedule a replacement program for major equipment?
9. What criteria is used to determine replacement dates for major equipment?
10. Does the district project operating expenditures and revenues into future years?
11. Are future costs of proposed new programs projected and available at the time the adoption of the program is being considered?

Financial Management

1. What could be the implications to the district of a change in the fiscal year to July 1-June 30?
2. How many separate funds are maintained and approximately how much cash is in each at different times of the year?
   A. What legal constraints exist which require separation of funds?
   B. Are any funds separated on accounting records only with cash pooled in a single account to the maximum extent legally permissible?
   C. Is there sufficient money available in any funds at certain times of the year to permit investment of idle funds?
      (1) If yes, are funds regularly invested in order to return interest?
      (2) If no, could some funds be pooled in a joint account to permit additional flexibility and the initiation of an investment program?
   D. What procedures are required to authorize the investment of funds and who is authorized to make the investment?
      (1) Do the procedures interfere with timely investment practices which produce the maximum interest return on idle funds?
      (2) If so, identify the source of the procedural constraints and the degree to which they could be legally altered by action of the district..
3. Where are district funds deposited?
   A. Are all district funds maintained at one bank?
   B. What are the costs to or benefits to the district resulting from the deposit of funds at a particular bank?
   C. How is (are) the depository of funds determined?
   D. How often is the question of a depository reviewed?

Purchasing

1. Is the purchase of materials and supplies centralized?
2. If so, who is responsible?
   A. What other responsibilities are assigned to him?
   B. To whom does he report?

3. What is the relationship of the individual charged with purchasing with: (1) the school principal; (2) with other support staff?
4. What is the policy of the district regarding competitive purchasing?
   A. How was the policy established?
   B. What exceptions are provided for within the policy?
   C. What other exceptions occur and how frequently?
5. Does the district purchase cooperatively with any other agency (i.e. another district, city, county, etc.)?
   A. If so, what type of materials and supplies are purchased?
   B. If not, are there considered to be legal barriers, policy barriers or lack of interest on the part of any affected agency?

Warehousing

1. Is there a central (or a series of area) warehouse(s)?
2. Who is responsible for warehouse operations?
   A. What other responsibilities is he assigned?
   B. To whom does he report?
3. Are all purchased supplies delivered to the central warehouse for either storage or checking in and immediate disbursement?
   A. If not, how are orders and deliveries accounted for?
   B. How are supplies and materials disbursed from the warehouse?
   C. What personnel is utilized for deliveries?
      (1) What other responsibilities is this personnel assigned?
      (2) To whom does this personnel report?
   D. What authorization is required to effect delivery?
   E. How long does it take a school to receive materials or supplies from the date of their request?
   F. What type of warehouse order, receipt and inventory records are maintained?
4. What materials and supplies are stored at individual schools?
   A. What records are maintained of the inventory?
   B. Who is responsible for the inventory?
   C. Are the materials and supplies replenished by outside order or from the warehouse?
      (1) Who originates and who approves reorder?
5. Is the existing warehouse space considered adequate?
6. Is contract purchasing utilized to permit deliveries of smaller quantities throughout the year?
   A. If so, identify uses.
   B. If not, has it been tried or is it being considered?

Building Maintenance*

1. Number of schools and other buildings.
   A. Approximate size (sq. ft. of classrooms).
   B. Special problems (age, heating or air conditioning systems).
2. Is building maintenance centrally provided or assigned?
3. Who is responsible?
   A. Other duties?
   B. To whom does he report?
4. Personnel number and type?
   A. Are any assigned to particular school(s)?
   B. Lead or supervision
      (1) Degree to which he participates?
      (2) Inspection or approval of jobs?
      (3) Sign if for approval by Principal?
   C. Any assignment by particular skills (carpenter, electrician, etc.)?
   D. Any other basis for assignment?
5. Scheduling
   A. How is a request initiated?
   B. How and by whom scheduled?
   C. How long?
   D. General acceptance.
6. Records
   A. Time?
   B. Materials?
   C. How completed?
   D. How filed?
   E. Can you get cost of maintenance of a particular building?
   F. Can you get productivity or time of a particular man?

Grounds Maintenance*

1. Sites
   A. Number of school grounds and acreage?
   B. Other sites?
   C. Special problems (athletic fields, joint maintenance, etc.)
2. Who is responsible?
   A. Other duties?
   B. To whom does he report?

3. Personnel
   A. Workers?
   B. Any specialization?
4. Assignment
   A. Any standards per man?
   B. Crew rotating?
   C. Any special school(s) assignments per man?
5. Field Supervision
   A. Leadman supervises and/or participates?
6. Any joint maintenance on
   A. School-parks grounds?
   B. Adjoining public property?
      (1) If so, has trade off of maintenance been considered?

Transportation and Vehicle Maintenance*

1. How many and what types of vehicular equipment?
2. Who is responsible for vehicle maintenance?
   A. Other duties?
   B. To whom responsible?
3. Is maintenance contracted or done in-house?
4. If in-house, what facilities are available?
   A. What cannot be done in-house because of lack of facilities?
   B. Because of lack of specialized personnel?
5. Staffing
   A. Number and type of personnel.
   B. Related duties and time (driving, etc.).
6. Parts
   A. Type maintained.
   B. Approximate value of inventory.
   C. Ordinance responsibility.
7. Records
   A. Parts
      (1) Inventory and checkout procedure
      (2) Reorder basis.
   B. Work orders
      (1) Time
      (2) Parts and cost

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* In some of these areas the full amount of specific information indicated was not gathered either because of: (1) difficulty of the school system quickly furnishing the data in the form requested; (2) a field determination that some of the detail would have little or no State-wide significance, or (3) an effort to avoid duplication of information which will be contained in a Department of Education study underway concerning local district facilities.

C. Centralized vehicle maintenance record
   (1) Where?
   (2) By whom?
D. Preventative maintenance.

8. Buses
   A. Number
   B. Number regular runs
   C. Reserves.
9. Driving duties
   A. Duties other than driving?
   B. Responsibility to vehicle maintenance or checkout?
10. Basis of run assignments
   A. Review and rescheduling?

Additional Discussion Areas (when not covered above)

1. Planning and research
2. Computer utilization
3. Federal program coordination and administration
4. Relationships with State Department of Education and other State and local agencies.

REPORT II

PERSONNEL STAFFING SURVEY
OF
SELECTED ALABAMA LOCAL PUBLIC SCHOOLS

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INTRODUCTION

Survey Methods

Personnel management aspects of local school administration were recognized to be a separate and important element in this State-wide survey. Up to date and authentic research is available on salaries, sex, preparation, assignment and status of Alabama classroom teachers through the Alabama Education Association using questionnaires providing data which can be compared with other states. Alabama has apparently been making progress as shown by several of the indicators found in AEA's "Alabama Public School Teacher - 1970-1971", published May 1972.

This study while certainly also paying heed to teachers' vital role in Alabama schools had an objective of finding out more of *how* all types of local school personnel including teachers are hired, motivated, assigned and *what* may be done within the system to improve performance and output as measured by various recognized standards and practices.

By necessity only a sampling of schools was made but efforts were made in selecting the 17 different schools in 7 Districts to produce a representation of city as well as county systems, of schools composed of every possible combination of grade levels and of pupil and teacher staff size. Meetings were first held with teaching and other supportive staffs in each school. Two types of questionnaires were distributed and returned to survey staff offices. As seen from copies of the forms found in the appendix the survey centered on duties being performed. No opinions nor ideas on how personnel aspects affected school programs or administration were directly sought. However, during subsequent staff interviews, mostly with Principals, a certain amount of opinion and very much clarifying information on all aspects of personnel operations were offered. It is upon the base of completed questionnaires (from approximately 700 local school personnel) and supplementary interviews in all the schools that the findings, observations and comments are made.

THE HIRING PROCESS

In general, school Principals identify what is needed by way of grade level and speciality background in vacancy for ensuing year. This is known only *after* scheduling for next semester is largely completed, as to which contracts will be reviewed and which individual teachers will for any reason not be returning to the school. In central office of all systems records are maintained indicating those teachers wishing to transfer from one to another school in the system.

Principals have a definite voice, but only *one* voice, in the final selection. A number of prospects may be interviewed both by the Principal where vacancies occur and by the Superintendent in all but the larger systems. In these cases the deputy acts for him and because of the volume plays an even more influential role in selection than in those smaller systems where the Superintendent himself also interviews. In no case were there teachers being hired new to the system without the tacit if not direct knowledge of the Superintendent. Also in most instances a semi-formal interview takes place between the prospective teacher, other hires and several if not all members of the Board of Education.

Comment:

An abiding principle of personnel management everywhere is "the supervisor should have freedom to choose those persons to be working for him." If he does not have how can he be held accountable for results. Further when this Principal is too blatantly overruled and told whom he has to hire, an esprit de corps among teachers supportive of the Principal is most difficult. Further the Principal falls back on his defenses. When criticism of the school arises he blames "the system."

In the present market for teachers, both experienced and newly trained, there is a full opportunity to allow and encourage freedom to Principals so long as established standards and requirements are observed. In this way stronger and more cohesive teaching team systems with Principal as core leader may be developed.

Influence of accreditation is quite mixed among the various systems but there seems to be more quarrel with requirements for librarians, counselors, etc. than regarding the application of speciality standards for teachers.

PERFORMANCE EVALUATION

Since nearly all of the on-going activity of evaluation is concerned with classroom teachers, findings are practically confined to that important area. No Principal interviewed had anything to offer with regard to the process by which performance of clerks, secretaries, librarians or teacher's aides are evaluated. For the most part teachers are evaluated by Principals at the end of each of the first three years as a part of contract renewal. In a few systems rather complete written criteria are established upon which teacher performance is evaluated.

An illustrative list of the qualities required in one district and used as basis for selection, retention or dismissal of teachers is to be found in the Appendix.

In the larger schools where there is some departmentalization the department head provides information based on more continued and close knowledge and observation. For the most part a teacher is rated by his Principal, mostly with the assistance of a curriculum supervisor or an assistant principal if available. There was no part of the formal evaluation process which called for earlier than one year evaluations of teachers and no provision for pointing out individual deficiencies with suggestions on how the teacher could go about making up for them. Emphasis was upon a one year periodic recording of performance with very little individualization, coaching and positive counseling on what the teacher could or should do for self-development in the profession.

Several of the larger systems have provided "Handbooks for Teachers" which summarize Board policies and rules as well as guidance from the Superintendent's office which must be useful to new teachers. One covers preparation, records and reports, contacts, pupil evaluation, suggestions for discipline, etc.

In only one of the many school Principals visited was there a clear recognition of the important if not vital period of the first few days and weeks of the new teacher's experience before the class. Rather this seemed to be about the busiest time of a shakedown period for the whole school and so there was no one except perhaps another teacher with a free period who could counsel and provide some assistance to the new one. Thus, each teacher pretty much develops his own style of discipline and of all other teaching aspects; there is no very adequate feedback as to just how effective this is and what if anything should be done about it.

Comment:

In the absence of any very comprehensive example found among the several types of certificated personnel evaluation systems in local Alabama districts it is apparent that more effort, inspiration or coercion on the part of the State is probably required. This could

take the form of legislation requiring certificated personnel performance standards being developed in each district based on a set of uniform but specific State guidelines. When effectively implemented locally it could improve and upgrade instructional competencies and/or result in the dismissal or reassignment of certificated employees not meeting standards set for their individual assignments. It should require the involvement of instructional personnel in standards development thus promoting better understanding and enforcement of standards adopted by localities. Each local district having defined its own educational philosophy and goals would enhance need for starting from its own individual base in evaluating performance.

There should also be requirements for regularly scheduled evaluations of all certificated personnel, teaching and non-teaching, as well as probational, regular or tenured personnel.

UTILIZING AIDES

Almost all of the schools visited employed several teacher aides. They were far more predominant in the lower grades. It appears that the paid aides as contrasted with a few volunteers surveyed are integral parts of a school staff, generally on duty from opening to closing of school and sometimes beyond. Unfortunately most of the programs seem to be dependent on continuance of outside funds and so very little job security prevails. The school can and does require what it does of other employees - a good degree of responsibility for group discipline, punctuality and regular attendance as well as need to respond to new emergency responsibilities such as in event of a pupil accident.

Typical duties of aides illustrate effective use in many schools. Some in the composite list will not be applicable to all grade levels.

1. Taking attendance and keeping routine class records.
2. Collecting funds for various purposes - keeping rudimentary accounts.
3. Correcting tests (mostly objective); keeping lists and charts for teacher to show pupil performance.
4. Supervising playground activities.
5. Supervising the lunchroom in whole or in part.
6. Helping primary grade pupils with their clothes.
7. Supervising primary grade pupils during lavatory time.
8. Caring for and operating audio-visual equipment.
9. Supervising distribution of milk.
10. Typing, duplicating, answering the phone and running errands to the office.
11. Helping pupils in composing bulletin boards, displays and projects.
12. Supervising quiet activities, study halls and rest periods.
13. Listening to and sharing thoughts with pupils who need and want to talk to an adult.

Comment:

A very great diversity exists on the way in which aides are used among schools visited. Some are specialists in reading to one or at most two teachers, for example, while others are used largely to enforce and exert discipline either in a classroom or almost as an assistant principal to take the burden on central enforcement among many classes. In only one case was there an aide assigned exclusively to one teacher. What is not at all clear from any of the questionnaires or interviews is exactly how aides are assigned. Are they assigned to those teachers and classes with the greatest problems, or are they to extend the demonstrated skills of a few select teachers who know how best to utilize

aides? No one really provided criteria upon which assignments are made. More than a few classroom teachers volunteered the information that they would like very much to have one or more aides available to them. What is not at all clear is that assignment of part or full-time aides actually results in the responsible teacher doing more than others without aides in lesson planning, in individual conferences with pupils, parents or in professional self-development. Quite possibly the additional responsibility of working with an aide requires by its very nature a certain amount of work planning as between the two parties, but this should not prevail after the first few weeks of working cooperatively together.

OTHER SCHOOL SUPPORT PERSONNEL

Under this heading falls a variety of persons and jobs exclusive of the Principal.

A. First there is the *Secretary/Bookkeeper.* This position with but slight variation occurs in all schools. It differs according to grade level and size of the institution. However, it exists in every school visited and Principals invariably give off the signal that the secretary really keeps essential records for central office satisfying report and fiscal accountability. In addition though, a variety and extent of pupil and parent contact is involved for the secretary particularly in the absence of a position of assistant principal. Teachers also acknowledge that much of the clerical burden has been shifted to the secretaries but when teachers indicated where aides could be of still more help there was a consistent response touching upon the clerical, reporting and general administrative end.

   An example of a typical size grade 1-8, school's secretary is found in the Appendix (A).

B. Next position is that of *Librarian* which at most locations involves duties beyond and outside those usual professional ones of strict library service. In senior and junior highs there is almost invariably the ancillary responsibility of full or partial responsibility for study halls. In fewer cases librarian also serves as homeroom supervisor. In all level schools there is frequently enough an assignment for a week at a time of bus duty and less frequently to playground or lunchroom. Occasionally the Library also serves as a book, supplies and materials storeroom.

C. *Counselors* were covered only obliquely in this survey. No descriptions of full-time persons assigned this duty were received, but their work activity and function came frequently into discussions with Principals. Often it was an expression of lament that the "State formula" and local finances did not permit more than one person serving as part-time counselor while filling up a full work schedule with a part-time teaching load. In a few instances Principals were able to increase counseling somewhat beyond that actually budgeted by shifting and reassigning teaching loads so as to free one position for counseling full-time.

D. *Student Teachers* constitute a distinct type of assistance available to a limited extent in a few schools. They are completing academic preparation and need to practice in a classroom setting what they have learned. In no case was there a master teacher concept actually being used at any grade level in schools surveyed. Further the monetary incentives formerly available to teachers with such persons assigned to their classes in a learner capacity are not much used. Arrangements between the school system or the Principal and the teaching institution seemed to be highly individualized and somewhat more dependent on the associations and ties of the Principal to the institution or persons connected with it than on any formalized, planned and continuing program between the two institutions.

A different category of student help resides in the student population itself. In one case student aides were selected mostly from among those who had failed and who were motivated to learn through helping others of their peers.

In no school did we encounter a school nurse, even though injuries and illnesses are commonplace. In one central office of our entire study this was recognized and at least a person was given responsibility to oversee this function in all schools of the system.

E. *Team Teaching*, as such an innovative practice is generally known, was called to our attention in only one instance among all schools visited. This was in a very new building, equipped very much better than any other visited. The staff was reported to be very much "turned on" with the experience and with the results both for the teachers as well as their clientele.

Logically there probably is no limit to the number and type of other support personnel besides those specifically identified because every individual employee in the system full-time or part-time from custodian through bus-driver, cafeteria worker to superintendent's office specialist certainly plays a part and contributes toward the total educational effort and product. In the schools visited, these persons are anonymous and their contribution unrecognized.

THE PRINCIPAL

From a personnel management view it became increasingly apparent that the tone and the whole style of a particular school reflected more than any other one factor the personality and attitude of the Principal. So much revolves around him as an individual. Even though he is burdened by a flow of students, teachers, parents and other personnel his style of leadership shows through and modifies policies, practices and procedures established for the system as a whole. To isolate only one phase because it is so vital is the relationship between Principal and teacher.

In the larger schools with one or more assistant principals and perhaps a curriculum supervisor and counselor, this relationship is typically formal and remote, but this may also be the case in even the smaller schools because the Principal wants it that way. In other cases the Principal seems to go to an extreme in the opposite direction of protecting and over-identifying with the teacher. In all too many cases, Principals indicated that they had made their reconciliations with "the system" as to teacher tenure, lack of monetary incentives and rewards, etc. Also there was a cynicism limited to only a few schools where the Principal had given up any real efforts to lead, inspire and fundamentally influence teaching quality because he felt one or a combination of "his teachers were too old and too set in their ways to change," "his younger teachers were unwilling to work hours actually required," "if we provided aides, teachers would spend even more time in the coffee room."

Still in other cases it was gratifying to note an attitude and philosophy toward teachers which indicate that the Principal saw his most important single responsibility to be the shaping and formation of good classroom teaching techniques especially among the newer teachers. One indicated in a big school that he would not think of turning over initial classroom visits during first few weeks of a neophyte's service to anyone else. He made it a point of doing this himself even if pressures were extreme on other items at that time of the school year.

If it is then largely true in most schools that the Principals' influence and style are of pervading importance on classroom performance of teachers (especially those unexpected ones) is it not of vital importance that selection and retention of Principals be most carefully done? Certainly the Superintendent and local Boards are the key to this process. They must want to have and retain the best available Principals considering experience and current attitudes as well as local associations, backgrounds in some cases confined to successful coaches or any of a variety of limiting and sometimes defeating self-imposed selection techniques.

CONCLUSION

This study on staffing patterns and personnel practices among Alabama schools also develops other findings not clearly falling into any one of the foregoing headings. They are:

1. Standards and criteria for hiring and paying new vocational teachers and for scheduling vocational classes are different from regular teachers in many districts. This has developed an unfortunate attitude and feeling of envy and resentment on the part of some teachers.

2. Staffing for clerical positions is uniformly at a low level in schools, while District headquarters are usually better staffed. Wherever State standards for accreditation or other purposes are developed, school level needs should be recognized.

3. Interviews and personal references are the most often used screening techniques for hiring all types of local school personnel. In the present market where supply is quite sufficient other techniques including examinations, background checks and group interviews may be justified.

4. Training of all school personnel at local levels is not sufficiently recognized by anyone. Policy statements and training plans in which subject personnel would have more effective voice should be encouraged. (At least one subject deserving more emphasis is safety for which measurable pay off is fewer accidents and lower insurance rates.)

5. Collective bargaining in the school sector reached headline proportions in Birmingham during the course of this survey. While its advent generally may not be imminent for most parts of the State, there must be something to be learned from experiences in many other states to indicate what can and should be done to prepare for the new era in Alabama.

6. There has been widespread use of Title I Federal program funds to augment local resources in order to provide more support for local schools. If funds used to employ teacher aides all had to derive from local sources a considerable cut-back would be required, but there is solid evidence to base a belief that these services are so worthwhile that a portion at least would be continued even if funds were derived from local and/or State funds.

APPENDIX

Griffenhagen-Kroeger, Inc.
1919 Gaslight Tower
Atlanta, Georgia 30303

As a part of the overall inventory of educational programs being conducted by the Alabama Education Study Commission, you are being requested to participate in a limited study of the utilization of teachers' time. This study involves only a few selected school districts and is being conducted by the management consulting firm of Griffenhagen-Kroeger, Inc. The study *is not* concerned with any evaluation of individual teaching skills or effectiveness and no information supplied by you will be used for those purposes. Instead, the study is intended as a pilot to examine ways in which teaching time is presently utilized in several different types and sizes of local districts and to consider future steps which could be taken in order to permit the teacher to utilize his highest skills and most effectively.

Following office review of the questionnaires by the consultant, you may be contacted for a random sample interview at the time the field staff visits the school. While the questionnaire does not require you to identify yourself, *if you wish an interview* please indicate this in the comments along with your name and free periods. In this way you can be assured of being included in the interview sample.

PART I

1. School(s) at which you usually teach _____
2. Teaching Certificate you hold - check highest one
   - ☐ Class AA
   - ☐ Class A
   - ☐ Class B
   - ☐ Provisional
3. Years of teaching experience _____
4. What is your present main teaching assignment? Check one:
   - ☐ First through sixth grade
   - ☐ Seventh or eighth grade
   - ☐ Ninth through twelfth grade
   - ☐ Combination Junior-Senior high
   - ☐ Combination Elementary-Secondary
   - ☐ Other - Please explain _____
5. If your assignment is at the elementary school level and non-departmental, indicate grade level _____
6. If your assignment is departmentalized at the elementary school level, indicate the subject area(s) you teach _____
7. If your assignment is at the secondary school level, indicate the subject area(s) you teach _____
8. Show the *exact length* of your required school day from the time you arrive in the morning until you leave school in the afternoon (e.g. on duty at 8:15 a.m. and leaving at 3:45 p.m. would give a school day of 7 hours and 30 minutes) _____ hours and _____ minutes
9. Indicate your total formal group teaching time per week (do not include individual counseling or tutoring, study halls, home room periods, playground or lunchroom supervision, or assignments not requiring instructional leadership) _____ hours and _____ minutes.
10. Indicate the number of periods involved in formal group teaching time shown above _____
11. Indicate the total number of students per day involved in formal group teaching time shown above _____
12. What percentage of your teaching time shown above is spent in teaching grade level subjects *which differ* from your major or minor field of college preparation? Check one:
    - ☐ None
    - ☐ Some, but less than 20%
    - ☐ 20%-39%
    - ☐ 40%-59%
    - ☐ 60%-79%
    - ☐ 80%-99%
    - ☐ 100%
13. If you have any teacher aide assistance check all of the types of assistance performed by the aide(s).
    - ☐ Help with instruction of small groups
    - ☐ Help with instruction of individuals
    - ☐ Help with lunch duty
    - ☐ Help with bus duty
    - ☐ Help with playground duty
    - ☐ Secretarial help (typing, filing, mimeographing, recording grades, etc.)
    - ☐ Help with grading papers (objective answers only)
    - ☐ Help with grading papers (essay questions, themes, etc.)
    - ☐ Preparation of instructional resources (slides, transparencies, etc.)
    - ☐ Use of instructional resources (film projector, tape recorder, etc.)
    - ☐ Assistance with classroom environment (prepare room, monitor students, prepare bulletin board, etc.)
    - ☐ Other (explain) _____
14. Number of teacher aides who assist you _____

PART II

The list below identifies specific types of activities related to the teaching profession. Note that the ninth item is open ended to permit you to include activities which are a regular part of your work, but have not been covered in the first eight-items. You are requested to estimate the *average hours per week* you devote to each activity during a "typical" period. The estimates should be carefully considered in order to reflect seasonal, irregular or infrequent types of activities. You will also note that the list is intended to cover work directly related to your teaching assignment at school, home, or any other location, *eventhough some of these activities may not be compensated.*

Number	Activity	Average Week Hrs.	Mins.	Do Not Write In This Column
1.	Formal group teaching time (5 times your answer for question #9 of Part I)			
2.	Preparation and planning of lessons, presentations, worksheets, etc.			
3.	Evaluating and grading papers including subjective answers such as essay questions, themes, etc.			
4.	Evaluating and grading papers involving objective answers only, posting and reporting progress and clerical activities directly related to instruction.			
5.	Supervision on non-instructional activities such as study halls, home room period, playground, lunchroom, bus duties, class sponsor, etc.			
6.	Clerical type activities such as attendance and lunchroom accounting, periodic reports and clerical work not directly related to instruction.			
7.	Attending professional meetings, committees, in-service training, faculty and department meetings, etc. (Not including academic courses)			
8.	Consulting with parents, community representatives, colleagues, and *individual students.*			
9.	Activities other than those listed above. Include a brief written description below)			
TOTAL HOURS AND MINUTES IN AVERAGE WEEK (TOTAL OF NUMBERS 1-9)				

In the space below indicate the activities for which you provided a weekly time estimate for item number 9 above and any comments you wish to make relating to the first eight items. Show the number of the item to which any comments are related. Attach additional pages if required.

Number	Comments Regarding Activities

APPENDIX (A)

(Typical Duties of School Secretary-Clerk)

1. School Accounting

Double entry bookkeeping of all school finances including lunchroom - Accounts Payable and Accounts Receivable.
Receipt of money received during day.
Prepare daily bank deposit of day's receipts.
Write checks; all obligations are paid by check. Each check must be supported by a voucher.
All transactions in *all accounts* posted to School Ledger and School Journal.

Supply Account: Sales and purchases for resale of children's school supplies.

PTA Account: All PTA transactions. Make monthly report showing receipts, expenses, and balance.

Pupil Supply Account: Individual teacher accounts for purchase of consumable supplies for use in classroom. All purchases accounted for.

Supplementary Materials Account: (Fee) Grades 7 and 8. Collections prorated as follows: 50% Art; 10% Writing; 20% Play; 5% speech; 15% Incidental.

Primary Voluntary Contributions Account: Primary and self-contained classroom teachers spend these fees for purchases for the individual class. Transactions receipted, expended and accounted for.

Miscellaneous Account: Money collected for special purposes such as pictures, bus fare to a concern, candy or donut sale, etc.

Donations Account: Contributions to the lunchroom.

Association Dues Accounting: Professional organizations.

Welfare Campaigns Account

Football Account: (tickets to High School games sold)

Accounts Receivable: Money due the school

Accounts Payable: Obligations owed by the school.

2. Lunchroom Payroll

Monthly Payroll: All tax reports - Federal, State, City and Social Security. Quarterly and Annual Reports made. W-2 forms made for employees at end of year.

3. Statistical Reports

Monthly statistical reports compiled after checking each individual teacher's register report. Annual statistical report compiled from all monthly reports close of school summary.

4. Enrollment of Pupils

Enrollment cards for all children in school are arranged alphabetically in September. A list is typed showing: parent; address; child's name; birthdate; and grade. This list is sent to the Attendance Department of the Board of Education - copies are made for Principal and Visiting Teacher.

Pupils entering after the close of the original enrollment and all during the remainder of the year are added weekly by sending typed enrollment cards each Friday for pupils enrolled during the week.

New pupils are enrolled, assigned to class, former school notified and records requested.

Withdrawal or Transfer of Pupil

When child leaves school, a transfer or withdrawal slip is completed as the case may be. Copies go to the new school, Attendance Department and one copy remains in the school. Records are sent to the new school.

5. Service Report

Monthly report to the Board of Education of the attendance of all employees. Dates and causes of each absence. Names of substitute teachers employed and dates served.

6. Miscellaneous Duties

Bulletins compiled and typed for opening and closing of school.
Mimeographing of various office forms, letters, etc.
Telephone calls attended.
First-aid to hurt children.
Okay home for ill or injured children.
Mail distributed.
Messages delivered.
Other duties as they occur.

APPENDIX (B)

Criteria for Employment and Promotion

(Lack of these qualifications constitute criteria for demotion or dismissal)

1. Skill in teaching
2. Knowledge of subject taught
3. General academic record
4. Successful experience appropriate for the position
5. Personality attractive to children and young people
6. Ability to work cooperatively with fellow teachers, the administration and the parents of pupils
7. Ability to control or discipline students
8. Successful achievement of students taught
9. Leadership ability
10. Honesty and fairness
11. Friendliness and sense of humor
12. Punctuality in performance of duties
13. Accuracy in keeping appropriate records
14. Ability to assign grades fairly and consistently
15. Creativeness in instruction
16. Ability to make and execute long and short range plans
17. Ability to profit from constructive criticism
18. Inspire students to want to learn
19. Good health, energy, enthusiasm and personal hygiene
20. Meets personal obligations promptly, including paying of debts without incurring legal action or levies to secure payment of debts

21. Does not willfully refuse to obey the reasonable rules and regulations of the employing Board
22. Not given to undue absence from duty
23. Not given to inmoderate use of alcohol or drugs

Additional Criteria for Coaches

1. Knowledge of sport coached
2. Experience and skill as participant in the sport
3. Ability to demonstrate skills required in the sport
4. Ability to organize a sports program and attract students to participate
5. Consistent and impartial treatment of members of a team
6. Ability to make use of scouting reports and successfully to adjust to opposing team strategies
7. A high sense of good sportsmanship

Criteria for Administrative Personnel

In addition to possessing qualities desirable in a teacher and/or coach the following criteria will be used for Principals and other administrators:

1. Ability to organize an educational program
2. Broad background in a number of academic disciplines
3. Ability to inspire confidence on the part of teaching colleagues
4. A high sense of dedication to the teaching profession
5. Successful experience in administering schools and/or educational programs
6. A good sense of balance and priorities in directing a school program

7. Willingness to accept suggestions and ability to put suggestions into well-formulated plans of action
8. Initiative and resourcefulness
9. Good public relations

Application of Criteria

The above criteria will be applied without regard to race or color.

A marked deficiency in any one or two criteria may be sufficient to cancel out acceptable ratings in other categories. However, in general the criteria will be applied to produce an overall rating of the individual and his prospects for success in a particular assignment. More recent ratings of an individual will carry greater weight than earlier ratings.

STAFFING PATTERNS BY SCHOOLS (GRADE LEVELS)

APPENDIX (C)

Grade Levels	May-June 1972 ADA*	Accredited	Teachers	Aides	Student Teachers	Librarian	Clerical Secretary	Counselor	Assistant Principal	Others
K-3	498	Yes	24	12	13**	1	Clerk	1**	1	none
1-6	330	No	11	3	5	none	Secretary	none	none	none
1-6	300	No	17	4	none	none (aide only)	Attendance Clerk	none	1	none
1-8	700	No	27	3	none	part/time	Secretary	1/3 time	aide serves part/time	none
1-7	650	No	26	3	none	none	Reception-ist Secre-tary	none	none	none
1-12	1125	No	47	2	none	1	Secretary	1	1	none
4-6	414	No	20	8	none	1	1	1	1	none
4-9	560	No	24	2	none		Secretary	none	1	none
7-9	335	Yes*	15	1	none	1	Clerk	none	1	none
7-9	1200	Yes	60	1	none	2	Secretary (Secy) Guidance	2	1	none
7-8	490	Yes	25	6	4-6	1	Secretary	1/3 time	1	none
8-12	371	Yes	22	1	none	1	Secretary	1	none**	none
9-12	1800	Yes	102	1	(Yes) from several institutions	2	Secretary Bookkeeper Attendance Clerks	4	2	Boy's Advisor
9-12	825	Yes	41	3	7	1	Secretary	2	1	Curriculum Supervisor
10-12	1100	Yes	58	1	none	1	Secretary (Secy) Guidance	3	1	Curriculum Supervisor
10-12	480	Yes	23	none	none	1	Clerk	1	1	none
10-12	633	No	27	1	several	1	Secretary	none	1	none

* State only

** Part-time * Principal serves also as District Superintendent

REPORT III

REVIEW OF STATUS OF RECOMMENDATIONS MADE IN THE 1967 – 1968 REPORTS DEVELOPED BY ALABAMA EDUCATION STUDY COMMISSION

(The Philpott Reports)

FOREWORD

As one part of the multiple activities currently in progress under the sponsorship and direction of the Alabama Education Study Commission, Griffenhagen-Kroeger was asked to review the 1967-68 reports prepared by the Commission as chaired by Dr. Harry M. Philpott and with Dr. H. B. Woodward as Executive Director.

This review was conducted by Griffenhagen-Kroeger in close cooperation with the Executive Secretary of the present Education Study Commission and involved substantial discussions with appropriate personnel of the State Department of Education and with other individuals considered to be knowledgeable with respect to Alabama educational programs.

The major recommendations are contained in a summary report transmitted to the Governor and the members of the State Legislature. Our specific assignment was to review the status of these recommendations and

1. To report actions taken to implement the recommendations;

2. To identify recommendations or portions thereof upon which little or no action has been taken; and,

   a. to develop as nearly as possible the reasons why; and
   b. to consider which recommendations are no longer valid without conducting extensive research.

Methods of Review

In order to accomplish these purposes, we have carried out interviews and conversations with persons closely associated with progress in the education field in Alabama. These tended to produce simply a general consensus statement regarding the action or lack of action concerning each recommendation. Specific data to document the action in each instance would have required extensive research by our staff, the Commission staff or the Department of Education. The overall consensus view which we report establishes a general pattern concerning follow-up or lack of follow-up on specific recommendations. If the present Study Commission desires more specific information concerning actions and dates involving any particular recommendation, further research will be required.

Implementation Efforts

The overall pattern which emerged based upon our discussion of implementation efforts is, unfortunately, not an unusual one. Following a period of intensive activity and concern, research and the filing of a prestigious report there appears to have been a lack of any

planned coordinated effort to bring about implementation of the major recommendations contained in the report. Some recommendations have been fully implemented. Other recommendations have been partially implemented and some, so far as we are able to determine, have not been considered. Many of the successes appear to have been coincidental, coming about as part of a breakthrough in education based on an effort underway for some number of years. These breakthroughs were often unrelated to the report recommendations. Indeed the usual response to our question concerning the implementation of a recommendation was to the effect that efforts have been underway for years to try to accomplish the same goal. When we asked about the use of the report as an instrument to help achieve the change, we generally received a response that indicated that the report itself was not a factor.

Properly utilized, recommendations contained in a report issued by a special commission can be valuable tools in themselves in achieving desirable change. If these recommendations are specific in nature and backed by extensive research and factual information, they can be particularly valuable -- but only if they are properly utilized following the filing of the report.

Planning for Future Reports Implementation

Until recently there has been no single individual or agency in Alabama which could effectively coordinate the efforts to achieve excellence in education on the many fronts required concurrently. The *continuing* Alabama Education Study Commission can fill this void and we believe such is clearly intended by the Commission leadership. In order to fulfill this important role the Commission must:

1. Engage in continued research and updating of previously accumulated and documented information;

2. Plan and coordinate a systematic follow-up effort to bring about implementation of major recommendations through:

    a. the development and furnishing of adequate background information to the proper personnel or agencies;
    b. the assignment to others and follow-up of background information; and,
    c. the presentation or coordination of presentation by others of this information before legislative committees or other groups or individuals with the authority to effect change.

In order to be able effectively to coordinate efforts and bring about desirable change, the recommendations contained in the report must be specific enough to permit objective measurement of their implementation. Recommendations which hang on key words like "sufficient" or "adequate" leave a wide latitude for individual interpretation. If it is necessary to use a general term in a recommendation, then the recommendation or

comments should indicate what guidelines or whose opinion provides the measure of success. Preferably, general recommendations should be avoided if the Commission expects to be able to schedule and coordinate follow-up efforts and measure the results of their efforts by the degree of implementation of the recommendations.

In summary, the value of this review of the 1967-68 recommendations lies not so much in the general information that will be presented subsequently about the status of each recommendation. The value, instead, lies in determining what steps could have been taken to have produced and implemented the report more effectively. The Commission can then use this information to plan for a more effective program of implementation and follow-up based on soundly developed and clearly defined recommendations. The Commission should *demand* that every recommendation be adequately developed and fully supported by factual information and that insofar as possible every recommendation be stated in specific terms which permit measurement of the degree of implementation. With this type of base, the Commission can then plan to continue basic research to continually update and/or revise information contained in any reports produced during the present concerted effort and assume a role involving the planning and coordination of all efforts designed to achieve the implementation of recommendations.